

Panel Perfformiad Craffu - Gwella Gwasanaethau a Chyllid

Lleoliad: Ystafell Bwyllgor 5 - Neuadd y Ddinas, Abertawe

Dyddiad: Dydd Mercher, 10 Ionawr 2018

Amser: 10.30 am

Cynullydd: Y Cynghorydd Chris Holley OBE

Aelodaeth:

Cynghorwyr: P Downing, P R Hood-Williams, L James, M H Jones, P Jones, J W Jones, I E Mann, B J Rowlands a/ac D W W Thomas

Agenda

Rhif y Dudalen.

- 1 Ymddiheuriadau am absenoldeb.**
- 2 Datgeliadau o fuddiannau personol a rhagfarnol.**
www.abertawe.gov.uk/DatgeliadauBuddiannau
- 3 Adroddiad Monitro Perfformiad Chwarter 2 2017/18** **1 - 23**
Richard Rowlands – Rheolwr Perfformiad Corfforaethol
- 4 Adroddiad Blynyddol Cwynion Corfforaethol 2016/2017** **24 - 67**
 - Clive Lloyd – Aelod y Cabinet dros Drawsnewid a Pherfformiad
 - Andrew Taylor – Rheolwr Cwynion
 - Tracey Meredith – Pennaeth Gwasanaethau Cyfreithiol, Democraidaidd a Deallusrwydd Busnes
- 5 Cynigion Cyllidebol 2018/19** **68 - 104**
Ben Smith - Pennaeth Gwasanaethau Ariannol a'r Ganolfan Wasanaeth
- 6 Cynllun Gwaith 2017 - 2018.** **105 - 108**

Cyfarfod nesaf: Dydd Mawrth, 6 Chwefror 2018 ar 10.30 am

Steu Evans

Huw Evans
Pennaeth Gwasanaethau Democrataidd
Dydd Mercher, 3 Ionawr 2018
Cyswllt: Bethan Hopkins - 636292



Report of the Convener

Service Improvement and Finance Scrutiny Panel 10th January 2018

Quarter 2 Performance Monitoring Report 2017/18

Purpose:	To enable the Panel to understand the Quarter 2 Performance Monitoring Report for 2017/18. To identify if there are any areas of performance that require further scrutiny.
Content:	Quarter 2 Performance Monitoring Report 2017/18
Councillors are being asked to:	Consider the report and make any comments or recommendations to the relevant Cabinet Member
Lead Officer & Report Author:	Richard Rowlands E-mail: Richard.rowlands@swansea.gov.uk

1. Background

- 1.1 As part of its performance monitoring role the Panel has the opportunity to discuss the Q2 Performance Monitoring Report. This is in order to assist in identifying whether there are any areas of performance that require further scrutiny.
- 1.2 The Panel can review the issue itself or through referral to another scrutiny performance panel or the Scrutiny Programme Committee.
- 1.3 The Q2 Performance Monitoring Report was presented to Cabinet on 14th December 2017.
- 1.4 Richard Rowlands, Corporate Improvement Manager, will attend to present the report to the panel and answer any questions. Service specific questions may need to be referred to the relevant directors.

Background papers: None



**Report of the Cabinet Member for
Service Transformation & Business Operations**

Cabinet – 14 December 2017

Quarter 2 2017/18 Performance Monitoring Report

Purpose:	To report corporate performance for Quarter 2 2017/18.
Policy Framework:	<i>Delivering a Successful Swansea Corporate Plan 2017/22</i> <i>Sustainable Swansea – Fit for the Future</i>
Consultation:	Legal, Finance, Access to Services.
Recommendation(s):	It is recommended that: 1) the performance results are noted and reviewed to help inform executive decisions on resource allocation and, where relevant, corrective actions to manage and improve performance and efficiency in delivering national and local priorities
Report Author:	Richard Rowlands
Finance Officer:	Paul Roach
Legal Officer:	Debbie Smith
Access to Services Officer:	Sherill Hopkins

1. Introduction

- 1.1 This report presents the performance results for Quarter 2 2017/18 delivering the Council's Well-being Objectives (priorities) described in the Corporate Plan 2017/22 *Delivering a Successful Swansea*.
- 1.2 The outturn presented in the performance tables (Appendix A) incorporates an overview of performance that needs to be considered alongside the current financial situation of the Council.
- 1.3 The financial resources required to achieve the specified performance levels in 2017/18 have been provided in the approved budget. As part of

the work on *Sustainable Swansea – Fit for the future* there will be an increased focus on understanding the level of activity and outcomes that are achieved for the budget allocated so that choices can be made about relative priorities.

2. Performance and Improvement

- 2.1 Performance is judged using the results measured by Corporate Plan performance indicators compared to agreed targets.
- 2.2 Improvement is measured by comparing the results of Corporate Plan performance indicators against the results from the same period last year where comparison is possible.
- 2.3 It is important to point out that each of the corporate priorities cannot be seen in isolation from each other. Each priority both affects and is affected by the others. For example, improving education and skills is both important to our efforts to tackle poverty and improve the economy. For this reason, many of the performance indicators allocated to measuring one priority can also be used to show progress meeting other priorities.

3. Outturn

- 3.1 The Corporate Plan performance indicators measure progress meeting the following key priorities:
 - i) Safeguarding people from harm.
 - ii) Improving education and skills.
 - iii) Transforming our economy & infrastructure.
 - iv) Tackling poverty.
 - v) Transformation & future Council development.
- 3.2 The outturn for Quarter 2 2017/18 shows that **30 out of 45 (67%)** Corporate Plan performance indicators (that had targets) met their targets. **18 out of 41 (44%)** comparable Corporate Plan performance indicators also showed improvement compared to Quarter 2 2016/17.
- 3.3 The performance tables in Appendix A also set out an overview of performance for each Corporate Plan priority provided by Directors and Heads of Service who are the responsible leads; these overviews are set out in para 4.0.

4. Context: Overviews of Performance

- 4.1 The following overviews provided by responsible departments describe the context to the performance meeting the Council's key priorities as at the end of Quarter 2 2017/18.

4.1 *Safeguarding people from harm*

- 4.1.1 Whilst the overall safeguarding arrangements to promote the safety and well-being of our most vulnerable citizens are robust, the level of demand for both statutory children and adult services remains high. This high level of demand has led to performance falling just below the ambitious targets set for some of our assessment and decision making timescales. Clear and deliverable management plans are in place to address issues of capacity and improvements to process and we remain confident that improved performance will be achieved over the year. Despite variations in performance against some individual targets when taken as a whole, the health of Swansea's safeguarding and care and support arrangements remains strong.
- 4.1.2 With regards the future sustainability of social care arrangements in Swansea and the shift towards a more preventative model, the positive performance in the areas of safe Looked After Children reduction, local area coordination, annual reviews, re-ablement and support for carers is particularly encouraging.
- 4.1.3 However, a deterioration in performance of delayed transfers of care from hospitals is directly related to community services including social care services becoming saturated through a significant increase in demand for long-term social care. Again specific management plans have been agreed between social services and the local health board to alleviate this pressure. Improvements in flow are already beginning to be evidenced as a result.
- 4.1.4 The Council's focus on ensuring all staff and Elected Members understand their safeguarding responsibilities are evidenced by a continued uptake of mandatory training. Elected Member training as part of the induction program for new Councillors proved particularly effective. As more and more staff have been trained, having a realistic target for the number of new staff required to be trained each quarter is difficult to judge and whilst we didn't hit the target of 250, it's still positive that a further 200+ staff engaged this quarter.

4.2 *Improving education & skills*

- 4.2.1 Swansea has a strong track record of improving outcomes for learners across all stages in schools and has shown outstanding performance at Key Stage 4, in particular between 2012/2016. Performance of free school meal pupils remains stable at Key Stages 2 and 3. The gap in performance for free school meal pupils has widened in 2017 at Key Stage 4 and at Foundation Phase.
- 4.2.2 Primary school attendance was 95% for the 2017/2018 academic year. This compares to 94.9% for each of the two previous years. The five-year trend since 2011/2012 has an improvement of 2%, which is the joint highest rate of improvement in Wales.

4.2.3 Secondary school attendance was 94.3% for the 2017/2018 and 2016/2017 academic years. The five-year trend since 2011/2012 has an improvement of 2%, which is higher than the rate of improvement in Wales.

4.3 *Transforming our economy and infrastructure*

4.3.1 Performance this quarter again shows that the vast majority of targets are being achieved and/or showing trend improvements. Amongst them, the number of apprenticeships or trainee starts in the Council and the percentage of all major applications with an economic imperative that are approved are both showing significant improvement.

4.3.2 Detailed design work and intrusive site investigations are now well underway to progress the delivery of the Digital Arena project. Works are scheduled to commence in 2018 for completion in 2020. Meanwhile the Kingsway infrastructure project design is on site to carry out enabling works in order for the main works contract to start early in 2018, minimising any impact on busy trading periods and the potential for disruption. A professional team is now being procured to work up detailed designs for the Tech Industries office development that will be delivered on the former Oceana site.

4.3.3 Following the signing of the City Deal agreement by UK, Welsh and Local Governments in March, work is now nearing completion to draft the five case business model that is required for sign-off by both governments before the City Deal projects can commence. The document will be submitted via the regional office later this month.

4.3.4 Since the submission of the deposit Local Development Plan (LDP) last quarter, LDP inspectors have now scheduled the formal Examination Hearings to be held over a 2-month period, from 5th Feb – 23rd March 2018. The Hearings will examine specific and detailed matters relating to LDP policies and individual sites. Amongst other land uses, the LDP will provide allocations to progress strategic housing and mixed development sites to meet housing need and provide employment. In addition, it will support the provision of affordable housing solutions in rural areas. The LDP will also promote biodiversity and protect Swansea's green spaces, including parks for recreation and play, to promote health and well-being. Biodiversity continues to be supported through the Wildflowers Scheme, with additional options for tree planting being explored.

4.3.5 The City of Culture bid was launched electronically by community representatives and received in London by actor Rhys Ifans who delivered it to the Department for Digital, Culture, Media & Sport (DCMS). We now await feedback and the visit from the judging panel next month.

4.3.6 Design works are progressing well for the HLF (Heritage Lottery Fund) funded Hafod Copperworks project. The project, in partnership with Penderyn will improve, expand and diversify the leisure, cultural and heritage facilities and infrastructure to help boost the economy, promote

tourism and improve wellbeing. This investment could support the Council's wider regeneration aspirations to deliver a new hotel and leisure development near the Liberty Stadium to complement cultural developments and encourage river taxis to take visitors to the Marina.

4.3.7 Recycling performance has been strengthened by converting 3 Household Waste Recycling Centres into Recycling Centres Only, and prohibiting recyclable material from the skips destined for landfill in the other 2 sites. This initiative, as well as the expansion of our Reuse Shop, has been recognised through the winning of 2 national awards.

4.4 *Tackling Poverty*

4.4.1 Following consultation on the revised Poverty Strategy we will complete and publish the strategy in Quarter 3, setting out our action to empower local people, change cultures to emphasise tackling poverty is everyone's business and target resources to maximise access to opportunity and prosperity. This will result in the development of a wider set of Corporate Targets, which further demonstrate how we will make steps towards well-being in line with Swansea's Corporate Plan.

4.4.2 Current Corporate Targets are predominantly met. Actions to address any shortfalls are in place, which should ensure that performance is back on track by the end of the third quarter.

4.4.3 The current corporate targets demonstrate our progress towards the following steps to well-being:

- Helping to address the impacts of Welfare reform, such as supporting people to claim the full benefits they are entitled to so that they are able to maximise their income. Our support to maximise Welfare Benefit claim works alongside efficient processing of Housing Benefit and Council Tax reduction to maximise their income.
- Prevent homelessness and support people to maintain their tenancies to help maintain stability and security for families, safeguard health and well-being and prevent social exclusion. Our low use of temporary accommodation particularly Bed and Breakfast by families, demonstrates our efficiency in supporting people into more permanent places to live.
- Implementation of the Community Cohesion Delivery Plan. The effectiveness of promoting cohesive and inclusive communities with our partners will be evidenced in good and consistent performance of local community satisfaction indicators.

4.5 *Transformation & future Council development*

4.5.1 Quarter 2 has seen some changes in performance as the Corporate Plan Well-being Objectives are implemented. The Council's corporate transformation programme, *Sustainable Swansea – Fit for the Future*, has continued to deliver as per the plan.

- 4.5.2 An Organisational Development Strategy has been developed and an implementation plan is underway. These provide a roadmap for developing the workforce of the future. In addition, a Commercial Strategy is underway articulating the vision and steps to making the Council more sustainable by embedding a commercial approach and culture.
- 4.5.3 One of the key priorities during Quarter 2 has been the start of the budgeting process, with financial targets that will ensure the Council is financially sustainable. New regional working arrangements have also formed a key part of Quarter 2 activities, with the Welsh Government (WG) starting a consultation process following the Local Government Reform announcements. WG has identified those services to be delivered at regional level and the proposed governance arrangements.
- 4.5.4 The Council is progressing its Co-Production Strategy with help from the Welsh Local Government Association and other partners. This will provide the opportunity for local citizens to influence how policies are written and services are developed across the whole Council. The Council continues to modernise and transform services, taking a digital first approach where appropriate, which is reflected in Quarter 2 performance.

5. Considerations

- 5.1 When making comparisons between quarters in previous years and 2017/18, the following should be considered:
 - 5.1.1 The nature and number of some performance indicators (PIs) has changed between these two periods and therefore direct comparisons may not always be appropriate.
 - 5.1.2 Many of the performance measures are new and definitions may need further refinement.
 - 5.1.3 Many targets for new performance indicators are still being baselined.
 - 5.1.4 Some data will be enhanced and improved to be more robust as data collection methods are developed and / or refined by services over the coming quarters.
 - 5.1.5 The results do not always account for changes in resources and workload during that period (although details can be seen in the numerator and denominator information and in the comments column of the data tables attached to this report).
 - 5.1.6 There may be changes to the numerator and denominator information that may affect the trends by showing a decline while the volume of work has increased.

6. Equality & Engagement Implications

- 6.1 This report has no direct equality and engagement implications itself although the data reported may form part of the information that leads to a service screening for and undertaking an EIA as required.

7. Financial Implications

- 7.1 In the current and anticipated financial environment further discussion and consideration will be required around priorities and target setting for performance improvement as part of *Sustainable Swansea – fit for the future*.

8. Legal Implications

- 8.1 There are no legal implications associated with this report.

Background Papers: None.

Appendices: Appendix A – Quarter 2 2017/18 Performance Monitoring Report.

Performance Report - Qtr 2 2017/18

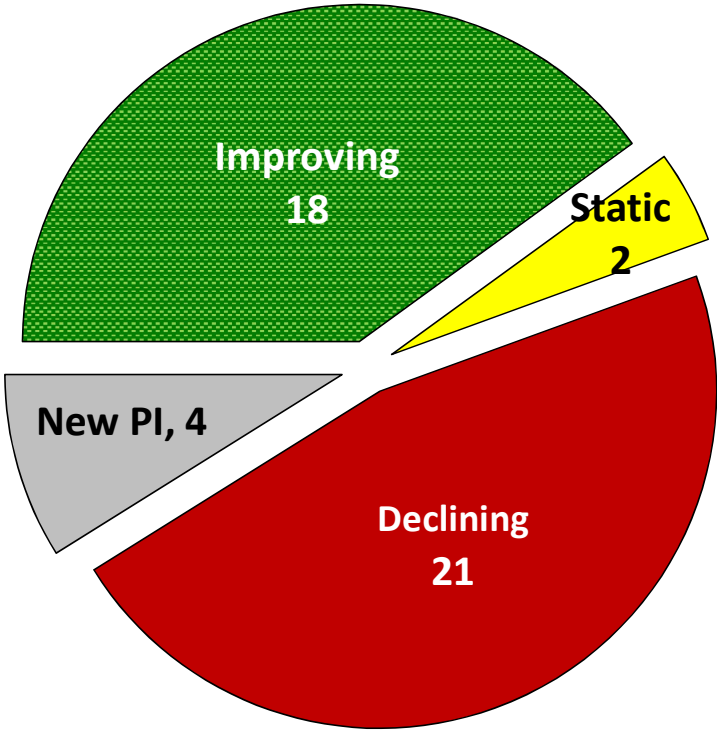
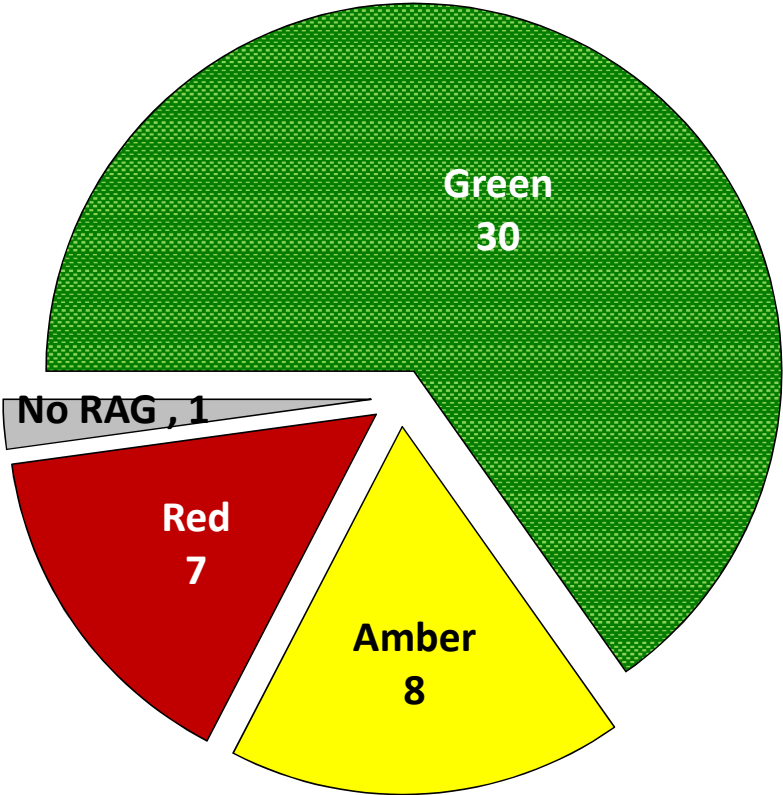


Corporate Performance against Target

Corporate Performance compared to Same Period of Previous Year

Overall Council Summary

Overall Council Summary



Performance Report - Qtr 2 2017/18



Priority Performance against Target

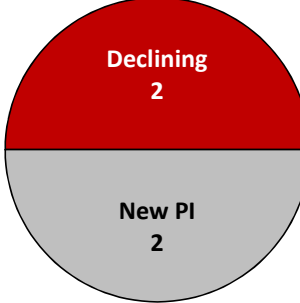
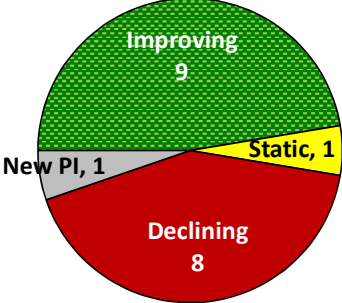
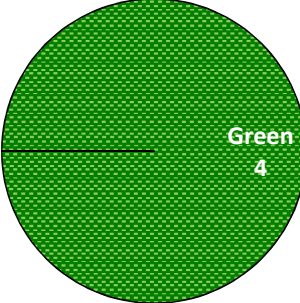
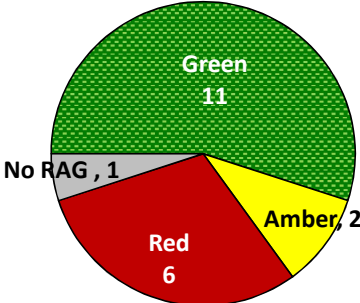
Priority Performance compared to same period of previous year

Safeguarding

Education

Safeguarding

Education

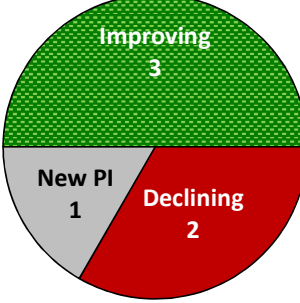
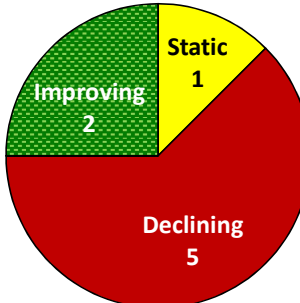
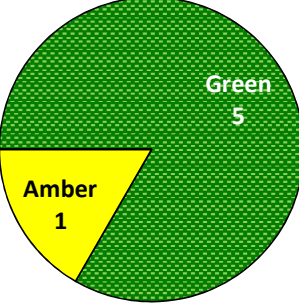
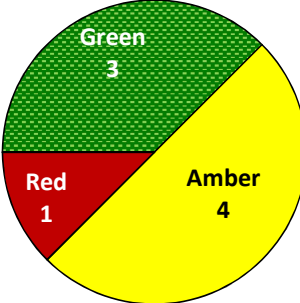


Transformation

Economy

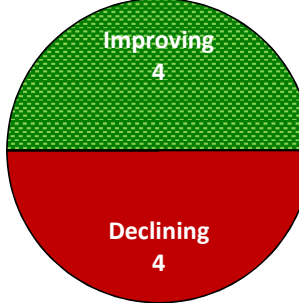
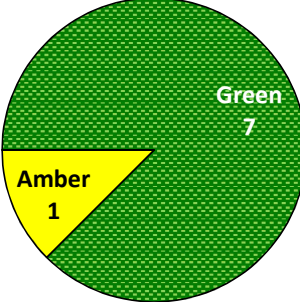
Transformation

Economy



Poverty

Poverty



Performance Report - 2017/18
Quarter 2

GREEN
Met Target

AMBER
Within 5% of Target

RED
Missed Target



PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		

Priority 1 : Safeguarding

Priority Lead's Overview

Whilst the overall safeguarding arrangements to promote the safety and well being of our most vulnerable citizens are robust, the level of demand for both statutory children and adult services remains high. This high level of demand has led to performance falling just below the ambitious targets set for some of our assessment and decision making timescales. Clear and deliverable management plans are in place to address issues of capacity and improvements to process and we remain confident that improved performance will be achieved over the year. Despite variations in performance against some individual targets when taken as a whole, the health of Swansea's safeguarding and care and support arrangements remains strong.

With regards the future sustainability of social care arrangements in Swansea and the shift towards a more preventative model, the positive performance in the areas of safe Looked After Children reduction, local area coordination, annual reviews, re-ablement and support for carers is particularly encouraging.

However, a deterioration in performance of delayed transfers of care from hospitals is directly related to community services including social care services becoming saturated through a significant increase in demand for long term social care. Again specific management plans have been agreed between social services and the local health board to alleviate this pressure. Improvements in flow are already beginning to be evidenced as a result.

The Council's focus on ensuring all staff and Elected Members understand their safeguarding responsibilities are evidenced by a continued uptake of mandatory training.

Elected Member training as part of the induction program for new Councillors proved particularly effective. As more and more staff have been trained, having a realistic target for the number of new staff required to be trained each quarter is difficult to judge and whilst we didn't hit the target of 250, it's still positive that a further 200+ staff engaged this quarter.

AS8 ↑ Percentage of adult protection referrals to Adult Services where decision is taken within 24 hours	AMBER 64.35%	65%	69.58%	RED ↓	The number of adult protection enquiries completed in the quarter that were completed within 24 hours 204 215	Performance is slightly lower than Q1 2017/18 and also lower than Q2 2016/17. However, performance is on 1% below this year's target and we are continuing to monitor performance to improve wherever possible.	Alex Williams
					Total number of adult protection enquiries completed in the period 317 309		
Measure 18 ↑ The percentage of adult protection enquiries completed within 7 days	GREEN 94.64%	90%	95.15%	RED ↓	The number of adult protection enquiries completed in the year that were completed within seven working days 300 294	Performance has continued to improve following increased management focus in response to performance issues during 2016/17.	Alex Williams
					Total number of adult protection enquiries completed in the year. 317 309		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service	
					Qtr 2 2017/18	Qtr 2 2016/17			
AS9 ↑ The percentage of Deprivation of Liberty Safeguarding (DoLS) assessments completed in 21 days or less.	GREEN 60.8%	60%	65.8%	RED ↘	The number of DoLS assessments completed in 21 days or less following request.	270	171	The service carried out 70% more DOLS assessments in Q2 17-18 compared to Q2 16-17. However, we are still struggling to meet demand. We are therefore creating a dedicated team to focus on DoLS assessments which should be in place by January 2018 and we would then expect performance to start to improve.	Alex Williams
					The number of DoLS assessments completed during the period	444	260		
AS10 ↑ Percentage of annual reviews of care and support plans completed in adult services	GREEN 69.2%	65%	67.0%	GREEN ↗	Number of reviews of care and support plans carried out within the last year by Adult Services	4,802	3,936		Alex Williams
					Number of people whose care & support plans should have been reviewed by Adult Services	6,944	5,871		
AS11 ↓ Rate of adults aged 65+ receiving care and support to meet their well-being needs per 1,000 population	AMBER 84.69	76>81	81.66	RED ↘	Number of people aged 65 or over supported in the community or in residential nursing care during the year	3,999	3,856	Whilst there has been an improvement in performance over the last quarter, there has been a deterioration compared to the same quarter last year due to increase in uptake of residential care and domiciliary care. We have established arrangements to scrutinise all requests for long-term care in order to manage demand effectively.	Alex Williams
					Total population aged 65 or over	47,220	47,220		
AS12 ↓ Rate of adults aged 18-64 receiving care and support to meet their well-being needs per 1,000 population	GREEN 9.13	9>11	11.44	GREEN ↗	Number of people aged 18-64 supported in the community or in residential nursing care during the year	1,369	1,716		Alex Williams
					Total population aged 18-64	149,958	149,958		
AS13 ↑ Number of carers (aged 18+) who received a carer's assessment in their own right during the year	GREEN 180	150	129	GREEN ↗	Number of people aged 18+ who received a carer's assessment.	180	129	Good performance 38% higher than Q2 last year.	Alex Williams
					D	1	1		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		
AS14 ↑ The percentage of people who have completed reablement who were receiving less care or no care 6 months after the end of reablement.	GREEN 82.54%	75%	70.63%	GREEN ↗	The number of people who have completed reablement who were receiving less care or no care 6 months after the end of reablement. 293	113		Alex Williams
					The number of people who have completed reablement. 355	160		
Measure 19 ↓ The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 or over	RED 3.18	2	1.34	RED ↘	Total number of local authority residents experiencing a delayed transfer of care during the year for social care reasons 69	29	Higher than average delays for August and September due to difficulties in obtaining new packages of care as a result of no further capacity available in the market. Immediate measures including complete review of those waiting for care put in place to improve flow through system and long-term plan in place to manage overall level of demand.	Alex Williams
					Total population aged 75+ 21,672	21,672		
AS15 ↑ Percentage of all statutory indicators for Adult Services that have maintained or improved performance from the previous year.	RED 71%	85%	50%	GREEN ↗	The number of statutory performance indicators for which performance is improving 5	3	5 out of the 7 statutory indicators have been met, but the targets relating to delayed transfers of care and the percentage of people contacting the Information, Advice and Assistance service more than once has increased. The ongoing effectiveness of the Information, Advice and Assistance service will be monitored to ensure that wherever possible we address queries at the first point of contact.	Alex Williams
					The number of statutory performance indicators 7	6		
CFS14 ↑ The percentage of decisions about a referral for care and support received by Child and Family Services which are taken within 24 hrs from receipt of referral	GREEN 100%	100%	100%	STATIC ↔	The number of decisions about a referral for care and support received by Child and Family Services which are taken within 24 hrs from receipt of referral. 410	404		Julie Thomas
					The number of referrals for care and support received by Child and Family Services in the period. 410	404		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service	
					Qtr 2 2017/18	Qtr 2 2016/17			
CFS16 ↑ The percentage of initial core group meetings held within 10 working days of the initial child protection conference	RED 83.05%	91%	95.71%	RED ↘	The number of initial core group meetings held within 10 working days of the initial child protection conference.	98	67	This is a volatile indicator and the high level of Child Protection work within the service has impacted on this indicator. The forthcoming development of the Performance Hub will help to improve performance for this indicator.	Julie Thomas
					The number of initial child protection conferences held in the period where the outcome was registration.	118	70		
CFS18 ↓ The number of children looked after (LAC) per 10,000 of the 0-17 Swansea population.	GREEN 101.65	90><108	104.62	GREEN ↗	The number of children looked after at end of period	478	492		Julie Thomas
					Total population aged 0-17.	47,026	47,026		
CFS19 ↓ The number of children on the Local Authority's Child Protection Register (CPR) per 10,000 of the 0-17 Swansea population.	RED 58.27	45><54	45.08	RED ↘	The number of children on the CPR at end of period	274	212	We are seeing a high level of activity at the front door which is translated into an increase in the amount of Child Protection work undertaken leading to a higher population on the Child Protection Register. The effectiveness of the Signs of Safety practice model is ensuring that children remain safe. We are undertaking an audit to better understand the reasons for the increase.	Julie Thomas
					Total population aged 0-17.	47,026	47,026		
CFS20 ↓ The number of children in need of care and support per 10,000 of the 0-17 Swansea population.	GREEN 212.65	190><220	219.88	GREEN ↗	The number of children in need of care and support at end of period	1,000	1,034		Julie Thomas
					Total population aged 0-17.	47,026	47,026		
CFS21 ↑ Percentage of all statutory indicators for Child & Family Services that have maintained or improved performance from the previous year.	-	-	-		The number of statutory Child & Family Services performance measures that have maintained performance or improved performance in the calculation period.	N/A	N/A	Unable to complete this indicator at present due to data issues with Care Leaver indicators. We are working through this at present and hope to be able to report back in Q3.	Julie Thomas
					The number of indicators in the calculation set	N/A	N/A		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		
Measure 24 ↑ The percentage of assessments completed for children within statutory timescales	RED 70.00%	87%	80.10%	RED ↓	Number of assessments for children completed during the calculation period that were completed within 42 working days from the point of referral. 273	306	The increase of referrals experienced in Q1 has filtered through to a high number than average assessments that needed to be completed. This high workload has continued to present difficulties in meeting assessment timescales. The re-design of Supported Care Planning includes an action plan to reduce caseloads by working more closely with early intervention and preventative services. The transition into the new Single Assessment format has added some complexity in processes. An exercise in reinforcing of assessment triggers is also taking place.	Julie Thomas
					The number of assessments completed for children in the calculation period 390	382		
Measure 28 ↔ The average length of time for all children who were on the Child Protection Register (CPR) during the year	No RAG 190.9	100><300	248	DECREASING	The sum of the lengths of time each child had been on the CPR if they were removed from the CPR in the period. 17,372	21,091		Julie Thomas
					The number of children who were removed from the CPR in the period 91	85		
SAFE8b ↑ The percentage of elected members who have completed safeguarding training	GREEN 84.72%	50%	63.89%	GREEN ↑	Number of elected members who have received training in safeguarding vulnerable people 61	46	E-mail to be sent to those councillors that have not been recorded as completed the training to enquire if they have completed the training and when. This figure reflects the well-attended course on 24th July which has boosted our progress towards achieving 100% and re-emphasising the need for the remaining Councillors to complete ASAP.	Steve Rees
					Number of Elected Members 72	72		
SAFE27 ↑ Total number of staff who have completed the corporate mandatory safeguarding awareness training	RED 227	250	-	NEW PI	Number of employees (excluding school based staff) who have completed the mandatory formal corporate training 227	N/A	The drive across the council is strong to prompt staff to complete the training, this is being communicated via team meetings and social media.	Steve Rees
					1	N/A		
SUSC5 ↑ Number of new requests for local area co-ordination	GREEN 63	60	41	GREEN ↑	The number of introductions for individuals recorded in the Local Area Co-ordination database 63	41		Alex Williams
					1	1		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		

Priority 2 : Education and Skills

Priority Lead's Overview

Swansea has a strong track record of improving outcomes for learners across all stages in schools and has shown outstanding performance at key stage 4, in particular between 2012-2016. Performance of free school meal pupils remains stable at key stages 2 and 3. The gap in performance for free school meal pupils is widened in 2017 at key stage 4 and at Foundation Phase.

Primary school attendance was 95% for the 2017-2018 academic year. This compares to 94.9% for each of the two previous years. The five year trend since 2011-2012 has an improvement of 2% which is the joint highest rate of improvement in Wales.

Secondary school attendance was 94.3% for the 2017-2018 and 2016-2017 academic years. The five year trend since 2011-2012 has an improvement of 2% which is higher than the rate of improvement in Wales.

BBMA4 ↑ Apprenticeships – number of apprenticeship or trainee starts in the Council in 2017/18	GREEN 19	10	-	NEW PI	The number of persons commencing employment with CCS as apprentices or trainees during the period	19	N/A		Phil Holmes
					D	1	N/A		
EDU016a ↑ Percentage of pupil attendance in primary schools	GREEN 94.28%	94><95.5%	94.56%	RED ↓	Number of sessions attended by all pupils of statutory school age in primary schools	1,750,817	1,948,359	In summer term, holidays accounted for 1.89%, whereas they were 0.47% in spring and 0.80% in autumn terms. Medical and illness absence was actually lower in summer term (2.78%), which partially offset the increased holidays. The other terms were 3.3% and 3.5%.	Nick Williams
					Number of sessions possible for all primary school pupils of a statutory school	1,857,056	2,060,551		
EDU016b ↑ Percentage of pupil attendance in secondary schools	GREEN 94.10%	93><94.5%	94.55%	RED ↓	Number of sessions attended by all pupils of statutory school age in secondary schools	540,502	772,089	In summer term, holidays accounted for 1.89%, whereas they were 0.47% in spring and 0.80% in autumn terms. Medical and illness absence was actually lower in summer term (2.78%), which partially offset the increased holidays. The other terms were 3.3% and 3.5%.	Nick Williams
					Number of sessions possible for all secondary school pupils of a statutory school age	574,398	816,592		
POV07 ↑ Number of training weeks for new entrant employees achieved through community benefit clauses	GREEN 1,173	750	-	NEW PI	Number of person weeks of training and employment undertaken	1,173	N/A		Phil Holmes
					D	1	N/A		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		

Priority 3 : Economy and Infrastructure

Priority Lead's Overview

Performance this quarter again shows that the vast majority of targets are being achieved and/or showing trend improvements. Amongst them, the number of apprenticeships or trainee starts in the Council and the percentage of all major applications with an economic imperative that are approved are both showing significant improvement.

Detailed design work and intrusive site investigations are now well underway to progress the delivery of the Digital Arena project. Works are scheduled to commence in 2018 for completion in 2020. Meanwhile the Kingsway infrastructure project design is on site to carry out enabling works in order for the main works contract to start early in 2018, minimising any impact on busy trading periods and the potential for disruption. A professional team is now being procured to work up detailed designs for the Tech Industries office development that will be delivered on the former Oceana site.

Following the signing of the City Deal agreement by UK, Welsh and Local Governments in March, work is now nearing completion to draft the five case business model that is required for sign-off by both governments before the City Deal projects can commence. The document will be submitted via the regional office later this month.

Since the submission of the deposit LDP last quarter, LDP inspectors have now scheduled the formal Examination Hearings to be held over a 2 month period, from 5th Feb – 23rd March 2018. The Hearings will examine specific and detailed matters relating to LDP policies and individual sites. Amongst other land uses, the LDP will provide allocations to progress strategic housing and mixed development sites to meet housing need and provide employment. In addition it will support the provision of affordable housing solutions in rural areas. The LDP will also promote biodiversity and protect Swansea's green spaces, including parks for recreation and play, to promote health and wellbeing. Biodiversity continues to be supported through the Wildflowers Scheme, with additional options for tree planting being explored.

The City of Culture bid was launched electronically by community representatives and received in London by actor Rhys Ifans who delivered it to the Department for Digital, Culture, Media & Sport (DCMS). We now await feedback and the visit from the judging panel next month.

Design works are progressing well for the HLF (Heritage Lottery Fund) funded Hafod Copperworks project. The project, in partnership with Penderyn will improve, expand and diversify the leisure, cultural and heritage facilities and infrastructure to help boost the economy, promote tourism and improve wellbeing. This investment could support the Council's wider regeneration aspirations to deliver a new hotel and leisure development near the Liberty Stadium to complement cultural developments and encourage river taxis to take visitors to the Marina.

Recycling performance has been strengthened by converting 3 Household Waste Recycling Centres into Recycling Centres Only, and prohibiting recyclable material from the skips destined for landfill in the other 2 sites. This initiative, as well as the expansion of our Reuse Shop, has been recognised through the winning of 2 national awards.

BBMA1 ↑ Number of projects that include community benefit clauses	GREEN 6	5	-	NEW PI	Number of projects with both social benefit clauses and Beyond Bricks & Mortar in their contracts. N 6 N/A		Phil Holmes
					D 1 N/A		
EC2 ↑ The percentage of all major applications with an economic imperative that are approved	GREEN 100%	85%	93%	GREEN ↗	Total number of major applications with an economic imperative that are approved N 5 14		Phil Holmes
					Total number of major applications determined in the quarter D 5 15		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		
EC3 ↑ Amount of commercial floorspace created within the City Centre to accommodate job creation	GREEN 11,802m ²	7,097m ²	4,026m ²	GREEN ↗	Amount of commercial floorspace created by sq m within the city centre 11,802m ²	4,026m ²	Additional funding secured from other sources has allowed additional works to take place.	Phil Holmes
					D 1	1		
EC4 ↑ Number of new housing units created in Swansea City Centre as a result of Vibrant & Viable Places funding	AMBER 66 units	68 units	33 units	GREEN ↗	Additional number of new housing units completed within Swansea City Centre through Vibrant and Viable Places 66	33	Although currently slightly behind schedule as of Q2 (present time), this is on track to meet the year-end target.	Phil Holmes
					D 1	1		
EP28 ↑ The percentage of all planning applications determined within 8 weeks	GREEN 86.38%	80%	89.73%	RED ↘	The total number of planning applications determined during the year within 8 weeks 444	437	A minor dip in performance has been observed when compared to the same quarter 2016. This is owing to the natural variation in type, scale and complexity of the applications received.	Phil Holmes
					The total number of planning applications determined during the year 514	487		
WMT009b ↑ The percentage of municipal waste collected and prepared for reuse and/or recycled	GREEN 64.42%	60%	65.34%	RED ↘	Total tonnage of local authority municipal waste prepared for reuse and/or recycled 18,730	20,332	The statutory target for 2017/18 is 58%. It should be noted that the percentage achieved each quarter can vary considerably due to seasonal factors. As usual the figures quoted are one Quarter behind (The figures are for Quarter 1)	Chris Howell
					The tonnage of municipal waste collected by the local authority 29,074	31,115		

PI & desired direction of Travel	Result	Target	Performance	Comparison to	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
	Qtr 2 2017/18	Qtr 2 2017/18	Qtr 2 2016/17	Qtr 2 2016/17	Qtr 2 2017/18	Qtr 2 2016/17		

Priority 4 : Tackling Poverty

Priority Lead's Overview

Following consultation on the revised Poverty Strategy we will complete and publish the strategy in Quarter 3, setting out our action to empower local people, change cultures to emphasise tackling poverty is everyone's business and target resources to maximise access to opportunity and prosperity. This will result in the development of a wider set of Corporate Targets, which further demonstrate how we will make steps towards well-being in line with Swansea's Corporate Plan.

Current Corporate Targets are predominantly met. Actions to address any shortfalls are in place, which should ensure that performance is back on track by the end of the third quarter.

The current corporate targets demonstrate our progress towards the following steps to well-being:

- Helping to address the impacts of Welfare reform, such as supporting people to claim the full benefits they are entitled to so that they are able to maximise their income. Our support to maximise Welfare Benefit claim works alongside efficient processing of housing benefit and council tax reduction to maximise their income.
- Prevent homelessness and support people to maintain their tenancies to help maintain stability and security for families, safeguard health and well-being and prevent social exclusion. Our low use of temporary accommodation particularly Bed and Breakfast by families, demonstrates our efficiency in supporting people into more permanent places to live.
- Implementation of the Community Cohesion Delivery Plan. The effectiveness of promoting cohesive and inclusive communities with our partners will be evidenced in good and consistent performance of local community satisfaction indicators

HBCT01a ↓ Housing Benefit Speed of Processing: a) Average time for processing new claims.	GREEN 16.58	18 days	16.08 days	RED ↓	Sum in calendar days of time taken to process all new claims	24,160	24,639	The PI whilst under target is slightly higher than last year's. Staff shortages in the claim vetting section, which gathers the information needed to verify claims, caused delays.	Ben Smith
					Number of new claims received	1,457	1,532		
HBCT01b ↓ Housing Benefit Speed of Processing: b) Average time for processing notifications of change in circumstances.	GREEN 4.59	8 days	5.78 days	GREEN ↗	Sum in calendar days of time taken to process change in circumstances	55,156	71,982		Ben Smith
					Number of change in circumstances decided	12,017	12,451		
HBCT02a ↓ Council Tax Reduction Speed of Processing: a) Average time for processing new claims.	AMBER 18.76 days	18 days	16.52 days	RED ↓	Sum in calendar days of time taken to process all new claims	27,780	27,028	Several claims during the period were incorrectly processed as Housing Benefit only applications, rather than as joint claims for Housing Benefit and Council Tax Reduction. This increased our average processing time when we identified the errors and awarded the Council Tax Reduction. Procedures have been tightened and staff reminded to check in order to prevent a recurrence. Staff shortages in the claim vetting section, which gathers the information needed to verify claims, also caused delays.	Ben Smith
					Number of new claims received	1,481	1,636		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		
HBCT02b ↓ Council Tax Reduction Speed of Processing: b) Average time for processing notifications of change in circumstances	GREEN 3.90 days	8 days	5.27 days	GREEN ↗	Sum in calendar days of time taken to process change in circumstances			Ben Smith
					66,242	72,642		
					Number of change in circumstances decided			
					16,989	13,787		
POV05 ↑ The amount of welfare benefits raised through securing rights and entitlements by the Welfare Rights Team	GREEN £297,392	£200,000	£218,571	GREEN ↗	Amount of benefit income secured or increased			Ben Smith
					£297,392	£218,571		
					D			
					1	1		
POV06 ↓ The average number of days all homeless families with children spent in Bed & Breakfast accommodation	GREEN 0	6 days	10.0 days	GREEN ↗	The number of days for each period spent in B&B accommodation by each family with children whose duty has been accepted during the year			Lee Morgan
					0	40		
					Total number of homeless families with children whose duty has been accepted who have spent time in B&B accommodation			
					0	4		
SUSC1 ↑ Percentage of people across Swansea who are satisfied or very satisfied with their local area as a place to live	GREEN 87.00%	86.6%	88.50%	RED ↘	Number of people responding 'satisfied' and 'very satisfied' with your local area as a place to live?		Performance bettered the target and remains strong although the result declined compared to the same period last year. We want to further improve perceptions of local areas as part of our work to transform the Council. We want to involve people and their local representatives in identifying local priorities and making decisions to help meet them.	Chris Sivers
					435	477		
					Total number of respondents to the question			
					500	539		
SUSC3 ↑ Percentage of Swansea residents who agree or strongly agree that their local area is a place where people from different backgrounds get on well together	GREEN 78.99%	78%	82.11%	RED ↘	Number of people responding 'agree' and 'strongly agree' that your local area is a place where people from different backgrounds get on well together?		The result this quarter has bettered the target, although performance has declined compared to the same period last year. We will continue our work, and to work with partners, to promote cohesive and inclusive communities within Swansea.	Chris Sivers
					391	436		
					Total number of respondents to the question			
					495	531		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		

Priority 5 : Transformation and Future Council

Lead Head of Service's Overview

Qtr 2 has seen some changes in performance as the corporate plan well-being objectives are implemented. The Council's corporate transformation programme, Sustainable Swansea – Fit for the Future, has continued to deliver as per the plan. An Organisational Development Strategy has been developed and an implementation plan is underway. These provide a roadmap for developing the workforce of the future. In addition, a commercial strategy is underway articulating the vision and steps to making the Council more sustainable by embedding a commercial approach and culture. One of the key priorities during Qtr 2 has been the start of the budgeting process, with financial targets that will ensure the Council is financially sustainable. New regional working arrangements have also formed a key part of Qtr 2 activities, with the Welsh Government (WG) starting a consultation process following the Local Government Reform announcements. WG has identified those services to be delivered at regional level and the proposed governance arrangements. The Council is progressing its Co-Production Strategy with help from the Welsh Local Government Association and other partners. This will provide the opportunity for local citizens to influence how policies are written and services are developed across the whole Council. The Council continues to modernise and transform services, taking a digital first approach where appropriate, which is reflected in Qtr 2 performance.

CHR002 ↓ The no. of working days / shifts per full time equivalent (FTE) local authority employee lost due to sickness absence	AMBER 2.03	2 days	2.1 days	GREEN ↗	Total number of working days/shifts lost to sickness absence as FTE.	18,444	19,409	Note from Corporate Performance Team - Data quality under review The outcome is slightly over target and reflects the on-going emphasis being placed on the effective and robust management of absence. CMT have approved various actions including a review of systems, processes, procedures in respect of managing sickness absence which are currently being planned and/or implemented.	Steve Rees
					Average number of FTE employees	9,098	9,146		
CUST2a ↑ Number of online payments received via City & County of Swansea websites	GREEN 18,825	18,650	40,067	RED ↘	Number of service-based payments received on the Civica payment system via City & County of Swansea websites	18,825	40,067	Online payments have increased from 11.6% to 13.1% of total payments via the Council's finance system, reducing administration burden and automating allocation of receipts to the correct services. This figure will increase with the introduction of online payment options for low-cost requests such as birth certificate copies and research material from libraries. This work is being done as part of the Business Support project, to give a wider choice of payment methods to customers including paying online.	Sarah Caulkin
					D	1	1		

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		
CUST2b ↑ Number of forms completed online for fully automated processes	GREEN 4,455	3,700	3,671	GREEN ↑	Number of forms completed online for processes which are fully automated 4,455 3,671 D 1 1	The virtual parking permit system has led to a 13% fall in face to face contact since last year, despite the seasonal increase in applications this quarter. We will be introducing a similar service for issuing parking waivers (required for utility companies to efficiently complete essential work in our area) in order to allow these companies to apply online, thereby reducing processing time and speeding up delivery of the permits.	Sarah Caulkin	
CUST5 ↑ Percentage of recent customers who were satisfied with level of customer service they received from Swansea Council	AMBER 79.13%	80%	83.92%	RED ↓	Of those respondents who have engaged with Swansea Council in the last 6 months, the number of people responding they were "satisfied" or "very satisfied" with the level of customer service received 182 214 Total number of respondents to the question 230 255	The data for this PI is based on results from a perception survey. The result is lower than satisfaction rates during the same period last year and we have just narrowly missed our target in terms of satisfaction with customer service levels. The Council is going through a period of transformation and we would expect variations in satisfaction levels during this time.	Lee Wenham	
CUST6 ↑ Percentage of Swansea residents satisfied or very satisfied with Council services overall.	AMBER 64.33%	65%	72.73%	RED ↓	Number of people responding "satisfied" or "very satisfied" with Council services overall 321 392 Total number of respondents to the question 499 539	The data for this PI is based on results from a perception survey. The result is lower than satisfaction rates during the same period last year and we have just narrowly missed our target in terms of satisfaction with customer service levels. The Council is going through a period of transformation and we would expect variations in satisfaction levels during this time.	Lee Wenham	
FINA6 ↑ Percentage of identified forecast general fund revenue savings and income for the year compared to Council approved budget	RED 65.62%	90%	66.81%	RED ↓	The forecast forward summary of savings and income achieved for the year (£m) £12.288 £15.041 Agreed original savings set out in the Council-approved budget (£m). £18.727 £22.513	Shortfall in planned savings is in line with first quarter and is manifesting in a significant overspend forecast in 2017-18 which will be reported to Cabinet in November. Revised and tightened spending restrictions were reissued in October to seek to rebalance some of the overspend. CMT is reviewing its criteria for capturing alternative compensating savings to ensure the tracker more accurately reflects corrective action where it has been undertaken.	Ben Smith	

PI & desired direction of Travel	Result Qtr 2 2017/18	Target Qtr 2 2017/18	Performance Qtr 2 2016/17	Comparison to Qtr 2 2016/17	N – Numerator D – Denominator		Comments (Explanation and Actions)	Head of Service
					Qtr 2 2017/18	Qtr 2 2016/17		
PROC11 ↓ Number of breaches received during the period which had determined the requirement of self-referral to the Information Commissioner's Office	GREEN 0	0	0	STATIC ↔	The number of data breaches received during the period which had determined the requirement of self-referral to the ICO 0	0	No breaches have resulted in referral to the Information Commissioner's Office (ICO). The Council is also currently working towards adopting new ways of working for the General Data Protection Regulation (GDPR) coming into force in May 2018.	Sarah Caulkin
					1	1		
SUSC2 ↑ Percentage of people across Swansea who agree or strongly agree they can influence decisions affecting their neighbourhood	AMBER 31.40%	33><50%	38.65%	RED ↓	Number of people responding 'agree' and 'strongly agree' that you can influence decisions affecting your neighbourhood? 152	201	Performance has just missed target but is an improvement on the result for the first quarter of the year. We aim to continue to make further improvements as part of our work to transform the Council and make it fit for the future. We want to involve local people more in Council decision making. We want to work with others to build capacity and to promote community action, involving and enabling local communities to help run services and manage assets where appropriate.	Chris Sivers
					Total number of respondents to the question 484	520		

Agenda Item 4

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Report of the Cabinet Member for Service Transformation and Business Operations

Service Improvement and Finance Scrutiny Performance Panel
10th January 2018

Briefing on the Corporate Complaints Annual Report for 2016/17

Purpose:	The report provides an overview of the work of the Complaints Team in relation to its areas of responsibility during the specified reporting period.
Content:	Statistical Information concerning complaints, information requests and use of surveillance under Regulation of Investigatory Powers legislation received and dealt with during the financial year in question.
Councillors are being asked to:	Discuss the report and identify if there are any comments and/or recommendations to be reported back to relevant Cabinet Member.
Lead Councillor:	Councillor Clive Lloyd
Lead Officer & Report Author:	Andrew Taylor
Legal Officer:	Tracey Meredith
Finance Officer:	Carl Bilingsley

1. Background

- 1.1 The Complaints Team is responsible for the central recording and control of all complaints received in respect of the services delivered by the Authority.
- 1.2 There are two complaints procedures; one for Social Services complaints and another for complaints for all other service areas (known as Corporate Complaints).
- 1.3 Each of these complaints procedures has its own policy; whilst the processes are similar, there are a number of statutory differences (mainly to do with timescales) making two separate policies a necessity.

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- 1.4 In addition to its responsibilities for administering complaints, the team is also responsible for central control of requests for information received under the Freedom of Information Act (FOI), Subject Access requests made under the Data Protection Act (SAR) and investigations required to be carried out under the Regulation of Investigatory Powers (RIPA).
- 1.5 The Complaints Team provides a Corporate Complaints Annual Report to Cabinet on its activities for the previous financial year. Appended to this report are 4 further reports in respect of the team's other responsibilities as follows:
- Adult Services Complaints
 - Children Services Complaints
 - Freedom of Information
 - Regulation of Investigatory Powers
- 1.6 The Corporate Complaints Annual Report for 2016/17 went to Cabinet on 19 October 2017.

2. Legal Implications

- 2.1 There are no legal implications.

3. Financial Implications

- 3.1 All costs incurred have to be covered from within existing budgets.

Background papers: *None*

- Appendices:** Appendix 1 - Corporate Complaints Annual Report
Appendix 2 - Adult Services Annual Report
Appendix 3 - Children Services Annual Report
Appendix 4 - Freedom of Information Annual Report
Appendix 5 - Regulation of Investigatory Powers Annual Report



Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

Corporate Complaints Annual Report 2016-2017

Purpose: To report on the operation of the Corporate Complaints Team, highlighting the number, nature and outcome of complaints made against the Authority, together with details of lessons learned and service improvements.

The following reports have been prepared separately in conjunction with this report, and are appended for information purposes:

- Adult Social Services Complaints;
- Child and Family Services Complaints;
- Freedom of Information Act (FOI);
- Regulation of Investigatory Powers Act (RIPA).

Policy Framework: None.

Consultation: Access to Services, Legal and Finance

Report Author: Andrew Taylor

Finance Officer: Carl Billingsley

Legal Officer: Tracey Meredith

Access to Services Officer: Sherill Hopkins

FOR INFORMATION

1. Introduction

1.1 The City and County of Swansea is a large organisation providing a variety of services and whilst every effort is made to carry out these services accurately and professionally, complaints are made for a number of reasons.

1.2 Members of the public complain for various reasons, such as lack of action/consultation, delay, staff attitude etc. Customers wishing to voice their

dissatisfaction or concerns are dealt with open-mindedly and impartially by the Complaints Team.

- 1.3 The Council recognises that in order to meet the needs and concerns of members of the public, the monitoring of complaints is a valuable resource in its requirement to continually improve services. All complaints are taken very seriously and the Corporate Management Team receives monthly updates on complaints received, providing valuable customer insight. **Appendix 1** contains all statistical tables referred to in this report.

2. Requests for Service (RFS)

- 2.1 A request for service is not a complaint (e.g. a request for service could be a request to repair an unlit lamp post). A complaint would only arise should the request for service not be properly dealt with. The Complaints Team take calls of this nature and liaise with the service department to ensure they are processed, to avoid a public perception of being “pushed from pillar to post”. A total of 1,146 service requests have been dealt with by the complaints team during 2016-2017, representing a 17% increase on the previous year’s figures.

3. The Corporate Complaints Process

- 3.1 The current Corporate Complaints Policy was adopted on 01/04/2013 in line with the Welsh Government Model Complaints Policy issued in 2011.

- 3.2 It is understood that the Welsh Government Model has now been adopted by all Welsh Authorities, providing greater consistency to the way complaints are handled nationally.

3.3 Stage 1 Complaints

- 3.3.1 The majority of Stage 1 complaints are dealt with by the relevant service area. When a complaint spans several different service areas, the complaints team will coordinate the handling of the complaints and provide a single, substantive response. Additionally, where a member of the public will not accept the information given to them by departmental staff, the complaints team will often work as the intermediary to try and resolve issues.

- 3.3.2 Stage 1 complaints should be responded to or actioned within 10 working days. 86% of complaints were responded to within this timescale.

- 3.3.3 Initial complaints may be made to the Complaints Team or to the Service Department. The figures shown in this report reflect Stage 1 complaints that have been received by the Complaints Team directly and those that went directly to the service departments.

- 3.3.4 Of the 1099 Stage 1 complaints received, 43% were found to be either fully or partly justified. When service delivery is below the level we would normally expect, steps are taken wherever possible to learn from mistakes in order to improve future service delivery.

3.3.5 0.7% of the complaints received were made through the medium of Welsh, or related to Welsh Language issues. In accordance with legislative requirements this information is reported to the Welsh Language Commissioner.

3.4 **Stage 2 Complaints**

3.4.1 If a complainant is dissatisfied with the outcome of a Stage 1 complaint, they may request that the matter be investigated by the Complaints Team, which is independent of the service department.

3.4.2 The Complaints Team will carry out an investigation, re-examining those issues with which the complainant remains aggrieved. This investigation will include a review of all relevant correspondence, and often incorporates separate discussions with both the complainant and with relevant officers from the service department(s) concerned. Stage 2 complaints should be responded to within 20 working days.

3.4.3 Complainants who remain unhappy with the outcome of the Stage 2 investigation by a Complaints Officer can refer their complaint to the Public Services Ombudsman for Wales (the Ombudsman).

4. **Social Services Complaints**

4.1 The handling of the majority of Social Services complaints is carried out under specific legislation and the Authority has a separate policy for such complaints. Full details of Social Services Complaints for Adult and Directorate Services dealt with under this process have therefore been reported separately in **Appendix 2**. Complaints for Child and Family Services are shown in **Appendix 3**.

4.2 In some cases, complainants are not eligible to make complaints under the Social Services complaints procedure. In these cases their complaints are handled under the corporate procedure and as such they are included in this report.

5. **Corporate Complaints Received**

5.1 Appendix 1 (Table 1) shows details of complaints received at stages 1 & 2 during 2016-2017. This table also shows the number of enquiries received by the complaints team which were referred to service departments as service requests.

5.2 The "Comments" section relates to cases where an individual has made a comment regarding a service as opposed to a complaint, which is then passed on to the relevant service unit for information. These comments may be negative or positive.

5.4 Appendix 1 (Table 2) provides the total enquiries received by the Complaints Team, which includes both complaints, requests for service and comments.

6. Cases reported to the Ombudsman

- 6.1 Should a complainant remain dissatisfied following completion of the two internal complaint stages, they can take their complaint to the Ombudsman's office for independent investigation.
- 6.2 The Ombudsman will usually check with the Authority whether or not the complaint has been through Stages 1 & 2 of the Authority's complaints procedure. Where this has not been done, the Ombudsman will usually refer the complaint back to the Authority, to give an opportunity to attempt to resolve the complainant's concerns through our internal complaints processes first.
- 6.3 The Ombudsman publishes an Annual Report every year and full details of his report for 2016/17 can be viewed online at: <https://www.ombudsman-wales.org.uk/en/publications/Annual-reports.aspx>
- 6.4 In summary, there have been a total of 54 complaints to the Ombudsman up 22% on last year (44 cases in 2015/16). Of the 54 complaints received by the Ombudsman this year, 4 complaints were resolved by quick fix/voluntary settlement and the Ombudsman did not consider that any complaints needed to be taken to full investigation.

7. Service improvements introduced following complaint investigations

- 7.1 Lessons can usually be learned from complaints received where complaints are upheld (and in many cases where the complaint was not upheld but the Authority recognises that improvements to services can be made).
- 7.2 Occasionally during the course of an investigation issues will be identified that need to be addressed over and above the original complaint. The Complaints Team will always try to look at the "bigger picture" to ensure that residents receive the best possible service from the Council.
- 7.3 Redress measures have included the issuing of apologies, small compensation payments, additional training for staff and the introduction of new procedures (e.g. the development of a new protocol for dog wardens).
- 7.4 Where Service Departments agree to take follow up action as an outcome from a complaint investigation, the Complaints Team may inform Internal Auditors (when deemed appropriate) in order to ensure that changes have been implemented. In these circumstances, compliance checks can be made as part of the next internal audit of that section.
- 7.5 Regular reminders are given to departments to follow corporate guidelines with regards to the importance of acknowledgement letters and responses.

8. Compliments

- 8.1 When compliments are received they are acknowledged and forwarded to the Head of Service for the relevant service area. This has a positive impact on

staff morale and allows departments to recognise good practices. Examples of the many compliments received are shown in Appendix 1 (Table 3).

9. Other Functions carried out by the Complaints Team

9.1 Implementing & Providing Advice on Use of the CCS Unreasonable Customer Behaviour Policy.

9.1.1 A revised Unreasonable Customer Behaviour Policy was adopted by the Authority with effect from 1 May 2013. There are occasions when customers act in an unacceptable or unreasonable manner. In some cases the frequency and nature of their contact with the Authority can hinder the consideration of their own or other people's enquiries. In some instances the sheer number or nature of their inquiries lead them to be considered as 'persistent' or 'vexatious' in their dealings with staff. The revised policy provides a robust mechanism for dealing with situations whenever such circumstances arise.

9.1.2 The Team have issued several letters asking members of the public to moderate their behaviour and on occasion to restrict contact to a single point of contact within the Authority. Another example of restriction is where a member of the public is restricted to contacting the Council in writing only.

9.1.3 The Complaints Team collaborates with departmental staff in a consultative capacity and ensure that a consistent and corporate approach is followed in relation to the way in which they are treated by members of the public. Staff are reminded to complete HS3 forms when incidents of abusive behaviour have occurred. These forms, which are collated and recorded by the Health & Safety Unit, can be used in the decision process when consideration is given to implementing the behaviour policy.

9.1.4 The Authority has a duty of care to its staff; in line with this, a revised policy was launched with effect from May 2013, providing more comprehensive guidance on appropriate measures that may be implemented where customers' actions are deemed to be unreasonable or unacceptable.

9.1.5 More information on the Authority's Unreasonable Customer Behaviour Policy can be found at www.swansea.gov.uk/behaviour .

9.2 Freedom of Information Requests

9.2.1 Requests for information continue to be an area of high demand, with year on year increases since the inception of the Freedom of Information Act in 2000 and the right to request information which came into force on 1 January 2005. A total of 1225 FOI requests were received for the year 2016-2017. This is slightly lower than the previous year (1270 requests).

9.3 Subject Access Requests

9.3.1 A Subject Access Request is a request made by an individual under the Data Protection Act for personal data held on them. Co-ordinating subject access requests is a role that the Complaints Team have undertaken since January 2010. At present the requests are in much smaller numbers than the Freedom

of Information requests, however this is also an area that is increasing as individuals become more aware of their right to have sight of their personal information. A total of 62 Subject Access requests were received this year, which is slightly higher than the previous year (59 requests).

9.3.2 Detailed analysis of both FOI & Subject Access requests can be found in the Freedom of Information Annual Report 2016-2017 at **Appendix 4**.

9.4 Regulation of Investigatory Powers Act

9.4.1 The Regulation of Investigatory Powers Act (RIPA) 2000 allows local authorities to conduct covert surveillance activity where it is required for the purpose of preventing or detecting crime or of preventing disorder. This is now subject to Magistrates Court approval.

9.4.2 Analysis of RIPA activity this year can be obtained in the Regulation of Investigatory Powers (RIPA) Annual Report 2016-2017 at **Appendix 5**.

10. Conclusion

10.1 This has been the busiest year ever recorded for the Complaints Team. The total number of complaints & Requests for Service handled by the team has risen by 16% on last year, and the number of requests for information continues to be very high.

10.2 The highest standards of service are expected from all service departments irrespective of the increasing budgetary challenges faced by Local Authorities. It is therefore vital that customer expectations are carefully managed to keep complaints to manageable levels. On occasion, customer behaviour toward staff members has been unreasonable, and this has been addressed by use of warning letters asking individuals to moderate future behaviour.

10.3 In order to obtain a clearer picture of Stage 1 complaints made across the Authority and their outcomes, the central logging system for all Stage 1 Complaints has undergone further improvements and as a result is now providing better customer insight than has ever previously been available.

11. Equality and Engagement Implications

11.1 The Authority reports to the Welsh Language Commissioner on the number of complaints received concerning compliance with Welsh language legislation and those made through the medium of Welsh. This year, just under 1% of all complaints fell into this category.

12. Financial Implications

12.1 All costs incurred in dealing with complaints have to be covered from within existing budgets.

13. Legal Implications

13.1 None.

Background Papers: None.

Appendices: Appendix 1 - Corporate Complaints 2016/17 - statistical data
Appendix 2 - Adult Social Services Complaints Annual Report 2016/17;
Appendix 3 - Child and Family Services Complaints Annual Report 2016/17;
Appendix 4 - Freedom of Information Act (FOI) Annual Report 2016/17;
Appendix 5 - Regulation of Investigatory Powers Act (RIPA) Annual Report 2016/17.

Corporate Complaints Annual Report - Statistical data

TABLE 1: Complaints recorded from 1 April 2016 to 31 March 2017 by Service Department					
Service Area	Stage 1 Complaints	Stage 2 Complaints	Requests for Service	Comments	TOTALS
Commercial Services	0	1	0	0	1
Communications and Customer Engagement	26	1	7	0	34
Corporate Building and Property services	102	9	56	11	178
Cultural Services	47	4	67	35	153
Economic Regeneration and Planning	56	16	15	8	95
Education	17	4	12	3	36
Financial Services	62	7	128	15	212
Highways and Transportation	269	27	314	63	673
Housing and Public Protection	151	28	226	32	437
HR and OD	13	8	10	1	32
Information and Business Change	1	0	3	0	4
Legal and Democratic Services	13	2	9	1	25
Poverty, Wellbeing and Communities	4	0	0	0	4
Social Services (Corporate)	48	2	43	5	98
Waste Management and Parks	338	6	256	52	652
Totals	1147	115	1146	236	2644

TABLE 2: Comparison of total enquiries received with the Previous Year			
	1 April 2015 to 31 March 2016	1 April 2016 to 31 March 2017	% Difference (+ or -)
Stage 1	999	1147	+15%
Stage 2	84	115	+37%
Requests for Service	975	1146	+18%
Comments	262	236	-10%
Total	2320	2639	+14%

TABLE 3: Examples of compliments received across different service areas	
Service Area	Compliment
Contact Centre	<p>I have dropped into your Civic Centre a number of times in the last over two years. There has never ever been a single time when I did not receive a warm, considerate, compassionate, caring and respectful welcome.</p> <p>Your reception, due to the people working there, is even better than a five start hotel. In fact, I would strongly suggest others to use your reception as a model of learning and training.</p> <p>Thank you very much for setting up such a high-class, professional and compassionate reception, where people come all the time with their worries and problems. I believe the whole council is like the way it is at the reception.</p>
Dylan Thomas Centre	<p>Amazing, friendly staff who interacted with children's group, nothing was too much trouble for them. Excellent info. Highly recommended.</p>
Passport to Leisure / Penlan Leisure Centre	<p>I only recently found out about the discounts available to me to access the Passport to Leisure. I would like to thank you for this benefit, given the economic climate. It is invaluable not only in helping to maintain some level of fitness and wellbeing but the social aspect of being in a peer group once again, as one would be in a working environment, is also of benefit.</p>

	My local centre is Penlan where the staff are always pleasant and helpful.
Service Area	Compliment
Park Lives	Thank you to all involved in the Celebrating Cultural Diversity Day at Blaenymaes Community Centre. 120 people engaging with the partners throughout the day.
Highways	I phoned yesterday to report blocked gullies o/s his house and they turned up today to do the work. Wanted to say thank you and what a fantastic service.
Complaints Team – compliment re Complaints Officer	I would like to now make specific reference to the customer service i received from a complaints officer yesterday. I suffer from anxiety and have difficulty expressing myself verbally but she was extremely patient with me. She listened intently and demonstrated this when she went through what I'd said. She clearly explained the complaints process, making sure i understood in a non patronising manner and when i got flustered about sending an email to your complaints mailbox she offered to email me so i could just reply. The officer went above and beyond when dealing with me. She showed patience and understanding which in this difficult time for my family was exactly what was needed. She was a pleasure to deal with and must be a great asset to your department.
Parks (Teifion)	I was a member of a group who visited Clyne Gardens on Thursday 4th May (a.m.). We had a guided tour led by Teifion, the head gardener, and I just want to say how wonderful it all was. He was exceptionally knowledgeable, and really explained everything clearly, answering our questions with excellent information. The gardens are very special, but made even more so under Teifion's care and supervision. Please pass on my compliments.
Refuse Collections	Email received from resident: I would like to say a massive thank you to the 'bin men' working within swansea city council. I lost my purse in the Winchwen area 26.03.17 and the kind worker who found my purse delivered it back to my house for me in Llansamlet. I was not home when the gentleman brought it back, Im so happy and relieved thank you so much.
Public Protection Public Health Compliment to AM (Pest & Animal Control officer)	Good morning, I'm just writing to acknowledge the excellent service provided by your pest control department. The pest control employee visited my mother's home in Mysydd Terrace and carried out his work in a professional and efficient manner always arriving on time, polite, courteous and pleasant man. People are quick to complain but not to offer praise! We never did get his name. He is an asset to your organisation. Kind regards

Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

ADULT SERVICES COMPLAINTS ANNUAL REPORT 2016-2017

Purpose:	To report on the operation of the Complaints Team in relation to Adult Services for the period 1 April 2016 to 31 March 2017.
Report Author:	Andrew Taylor
Finance Officer:	Julie Davies
Legal Officer:	Tracey Meredith
Access to Services Officer:	Sherill Hopkins
FOR INFORMATION	

1.0 Introduction

- 1.1 The City and County of Swansea (CCS) Social Services Complaints Procedure seeks to empower service users or those eligible to speak on their behalf to voice their concerns in relation to the exercise of Social Services functions.
- 1.2 With effect from 1 August 2014 revised legislation came into effect, bringing the Social Services complaints procedure into line with other complaints procedures across public services, in particular the process for NHS '*Putting Things Right*'. The Social Services Complaints Policy reflects the requirements of the new legislation and full details of the new policy can be viewed online at: www.swansea.gov.uk/complaints . The legislation requires the reporting of additional information which has been incorporated into this report.
- 1.3 CCS Adult Services are committed to ensuring that concerns raised are listened to and resolved quickly and efficiently. Lessons learned from this process are fed back to relevant teams and used wherever possible to improve future service delivery.
- 1.4 Our aim is to resolve complaints at the earliest opportunity and teams are encouraged to be proactive in achieving this goal.

1.5 Where someone has been deemed 'not eligible' to utilise the social services complaint procedure in accordance with guidance/legislation, their complaints may be dealt with under the corporate complaint procedure. This ensures that everyone is able to voice their concerns and that a complaints mechanism is accessible to everyone.

1.6 Appendix 1 contains all tables referred to in this report.

2. Total Complaints received during the reporting period

2.1 **Table 1** shows this year's total complaints received by the Complaint Team in respect of Adult Social Services with the previous two years' figures for comparison.

2.2 The total number of Stage 1 complaints received this year has increased by 14% in comparison with figures for the previous two years.

2.3 One anonymous complaint was received this year, which raised a safeguarding concern. The matter was therefore referred to the safeguarding team.

2.4 Under the Social Services complaints policy, both the old and new legislative framework allow complainants to immediately request a stage 2 investigation. Through efforts to resolve complaints internally wherever possible, the number of stage 2 complaints this year remains relatively low.

3. Analysis of Stage 1 Complaints

3.1. A detailed breakdown of the Stage 1 Complaints received by Service Area is shown in **Table 2**. Complaints need to be acknowledged within 2 working days, and in 94% of cases where complaints proceeded to conclusion, discussions took place within 10 working days.

3.2 Complaints have been broken down by individual service team this year, in order to provide greater clarity on specific areas where complaints are being received. This will help with the identification of systemic issues and trends which can then be scrutinised more closely within those teams affected.

3.3 Due to continuing changes in the structure of Adult Social Services it is possible that the teams shown below have since been reorganised and may no longer exist as the teams set out below. Adjustments will be made to the team names year on year as required to reflect any such changes.

4. Stage 2 Complaints

- 4.1 Complaints are considered at Stage 2 of the complaints procedure either where we have not been able to resolve the issues to the complainant's satisfaction at stage 1, or the complainant has requested that the matter be immediately considered at Stage 2.
- 4.2 Both the old and new social services complaint regulations give an eligible complainant a statutory right to request Stage 2 of the process. Complainants are able to request that their complaint is dealt with directly at Stage 2 should they wish, and is not dependent on having been investigated at stage 1 or the outcome at stage 1.
- 4.3 An independent person is commissioned for a Stage 2 investigation. A formal report is produced which presents the facts and considers the feelings around the difficulties to suggest ways to move forward. Resolution and applying lessons learned is the prime objective of the complaints procedure.
- 4.4 **Table 3** provides a summary of the complaints handled at Stage 2 of the complaints process.
- 4.5 The Social Services Complaints Procedure has set criteria as to who can raise a complaint under that policy. Where an individual is not eligible to make a complaint under the Social Services complaints policy, their concerns will be handled through the Authority's Corporate Complaints Procedure.
- 4.6 The timeframe for dealing with Stage 2 complaints is 25 working days under the Social Services complaints policy, or within a reasonable time agreed with the complainant due to the complexity of a case or where enquiries could be extensive to provide a comprehensive review. For complaints made after the implementation of the new regulations, where an extension of time is sought this will normally only be granted with the permission of the Chief Social Services Officer or other delegated officer on their behalf. All investigations this year were subject to extended periods of time.
- 4.7 Whether the complaint is upheld or not, staff need to reinstate confidence in a good working relationship with the service user or their representatives, to move forward following the formal Stage 2 Process. There have been 4 complaints taken to Stage 2 in this reporting period.
- 4.8 **Summary of Stage 2 complaints**
- 4.9 **Case 1: Care Home Quality Team – 0 out of 5 complaints upheld**
- 4.9.1 This complaint had a two distinct elements. Firstly, concerns were raised relating to a safeguarding referral, which is considered under a different procedure (Protection of Vulnerable Adults). Secondly, the family were concerned about a lack of support from social services identifying a way

forward to meet their parents' needs jointly. The investigator did not uphold any of the complaints and made no recommendations.

4.10 Case 2: Community Support Team - 3 out of 7 complaints upheld

4.10.1 This complaint concerned a family complaining that their son's needs were not properly assessed prior to reducing support needs. The family didn't feel that the local authority gave a satisfactory explanation as to how the decision was made.

4.10.2 Recommendations were made in the investigator's report for a new, holistic assessment involving an OT and Speech and Language Therapist to be carried out as a matter of urgency to ensure that the care package would enable the service user to live independently at home. The Head of Service apologised for failings identified in the report and accepted the recommendations of the Independent Investigator. Officers were instructed to involve the parents in the reassessment process and that their needs were considered before coming to any conclusions.

4.11 Case 3: North Hub - 1 out of 6 complaints upheld

4.11.1 The complainant had concerns that the Local Authority did not properly explain the funding requirements of her husband's respite care and also expressed concerns that the family were not given copies of assessments / support plans at the outset of their involvement with social services.

4.11.2 Apologies were provided for the failure in providing the complainant and her husband with copies of the assessment or support plan at the time of assessments and reviews.

4.12 Case 4: Community Alarms - 5 out of 7 complaints upheld

4.12.1 A lifeline user was in receipt of an additional service whereby automated daily telephone reminders were made to the service user to take regular medication. Despite raising concerns regarding the effectiveness of the system, the family felt that the matter was not dealt with via the complaints procedure as quickly as it should have been.

4.12.2 The investigation made recommendations that included:

- a review of equipment testing processes to ensure that all equipment is fully operational upon installation and at subsequent review periods thereafter;
- a review of the stock control system relating to lifeline equipment;
- a review of the contractual arrangements between the Authority and the equipment supplier;
- an apology to be provided for a lack of clarity in the stage 1 complaint response letter;
- an apology for the failure of the service department to notify the complainant of the complaints procedure at the outset.

5.0 Complaints made to the Public Services Ombudsman for Wales (PSOW)

- 5.1 The remit of the Public Services Ombudsman for Wales is to identify whether a member of the public has suffered hardship or injustice through maladministration, or identify where services have fallen below a reasonable standard. There is an obligation for a report to be produced on any investigation the office accepts. The reports produced are defined under two separate headings. Section 16 (Public Interest) Reports, for which there is a requirement for the Authority to publish details and Section 21 Investigation Reports which do not need to be published. Further details of the role of the PSOW can be found at <http://www.ombudsman-wales.org.uk>
- 5.2 The PSOW has produced his Annual Report for 2016/17, containing details of cases where the Ombudsman has identified failures in service delivery by public bodies across Wales. There have been no findings of maladministration by the Ombudsman in relation to Swansea Adult Services this year. The Ombudsman's report can be seen online at <http://www.ombudsman-wales.org.uk/en/publications/Annual-reports.aspx>

6. Reasons for complaints and their outcome

- 6.1 Further analysis of the reasons for complaints is shown in **Table 4**. Whilst service users have unique and complex individual circumstances, complaints have been grouped under 'best fit' generic headings for reporting purposes.
- 6.2 Wherever possible, lessons are learned and improvements are made to service delivery when a complaint is upheld. 32% of complaints were justified/partly justified this year, consistent with the equivalent figures for 2015/16 (also 32%).

7. Advocacy

- 7.1 Advocacy services exist to represent service recipient's views and feelings when dealing with organisations. Social Services engage in statutory arrangements to ensure the welfare of clients with mental health and learning disability needs where capacity is compromised and provide signposting to other organisations providing such services for all clients.
- 7.2 The Complaints Officer will work with groups and organisations providing advocacy services, to address issues and promote the provision of assistance to service-users through the complaints process. Effective engagement with advocacy services empowers more individuals and groups to make use of the complaints process at the earliest opportunity.

8.0 Compliments

- 8.1 Adult Services have received in excess of 100 compliments over the course of the year. Set out in **Table 5** are examples of some of the compliments which have been passed to the complaints team in relation to Adult Services. The individual staff members have been made aware of the compliments concerning them as has the Head of Service.
- 8.2 As well as substantial acknowledgements of thanks from service users that are given to staff at the point of service delivery, service users, relatives or friends can convey their appreciation more formally through the Comment or Compliment process.
- 8.3 Many complaints are often accompanied by compliments for other elements of service provision.
- 8.4 Compliments received are an equal reflection of individual and team efforts and Adult Services teams should be encouraged by their successes having regard to compliments received.

9. Equality and Engagement Implications

- 9.1 There are no direct equality and engagement implications arising from this report.

10. Financial Implications

- 10.1 All costs incurred in dealing with complaints have to be covered within existing Budgets in Corporate Services.
- 10.2 External Independent Investigators and Independent Persons may be appointed to deal with some complaints in accordance with legislation. The cost to the Authority of providing this service in 2016/17 for Adult & Directorate Services was £18,540

11. Legal Implications

- 11.1 Complaints should be administered in accordance with the regulations outlined in paragraph 1.2 above.

Background papers: None

Appendices: Appendix 1 – Statistical Data Tables

Appendix 1 – Statistical data in Tables

Table 1 - Total number of complaints received by Complaint Team				
	Year	2014/15	2015/16	2016/17
Service Requests		5	6	29
Corporate		15	18	19
Stage 1		88	89	100
Stage 2		12	4	4
Stage 3		1	-	-
Ombudsman		3	4	5
Totals		124	121	157

Table 2 – Stage 1 Social Services complaints by Service Area	Total
Bonymaen Residential Home	1
Care Home & Quality Team	2
Central Hub	8
Commissioning	1
CMHT1	3
CMHT2	1
Community Services Hub	8
Community Support Team	3
Contracting	3
DCAS Central Hub	4
DCAS North Hub	8
DCAS West Hub	3
Financial Assessments	11
Gorseinon Community Service	1
Intake Team	2
Integrated Support / Care Planning	1
Mental Health & Adult Protection	7
Morrison Hospital SW Team	1
North Hub	11
Occupational Therapy Service	4
Safeguarding	4
Singleton Hospital SW Team	1
Townhill Team	1
Transition Team	2
The Hollies Residential Home	1
West Hub	6
Adult Services General	2
Total number of Stage 1 SS complaints	100

Table 3 – Stage 2 Social Services complaints by Service Area		Total
Service	Outcome	ID
Care Home Quality Team	0 out of 5 complaints upheld	Case 1
Community Support Team	3 out of 7 complaints upheld	Case 2
North Hub	1 out of 6 complaints upheld	Case 3
Community Alarms	5 out of 7 complaints upheld	Case 4

Table 4 Reason for Complaints and their outcome	No. of Complaints	Justified	Not Justified	Partially Justified	Not Pursued	Withdrawn	Not Eligible	Referred to NHS	Impasse	Local Resolution	Directed to another Forum	Referred to another Agency	For Information Only	Referred to POVA	Referred for New Assessment	Policy Matter	Department to action / monitor
Delay in assessment	1				1												
Delay in service after assessment	1											1					
Delayed hospital discharge	1				1												
Financial Errors	4	1		2	1												
Historical Matters	2						1							1			
Issues with direct payments	2		1	1													
Lack of carers	1												1				
Lack of resources	1		1														
Lack of support	4	1	2										1				
Not following procedure/policy	2							1	1								
Poor standard of care	1													1			
Request for information	3						1						2				
Safeguarding concerns	5													5			
Staff attitude	7	2	1	1						1				2			
Unhappy with action taken	21	4	4	4	1						1			6		1	
Unhappy with charges levied	9	2	3		2		1									1	
Unhappy with decision	6		5									1					
Unhappy with level of service	27	10	6	3	3			1		2			1	1			
Unhappy with response	1				1												
Withdrawal of service	1				1												
TOTALS	100	20	23	11	11	0	3	2	1	3	1	2	5	16	0	2	0

Table 5 – Examples of Compliments Received

Teams	Compliments Received
Central Integrated Hub	<p>Email from relative</p> <p>'I would like to express my thanks and gratitude to both social workers for their speedy response to my request for assistance and for the professional way they both dealt with the situation. This has meant that Mr & Mrs X are now able to remain at home with the support arranged by the SW from the DCAS assessment team (who also provide an excellent service) from your department's Occupational Therapy service who has also provided an equally professional response, please extend my thanks to them also. One sometimes hears of negative stories about your Department, it's a pity that the public do not hear more about the tremendous work you all do in supporting Older People in Swansea to remain in their homes.</p>
Hospital Social Work Team	<p>Thank you email from a relative:</p> <p>'You have been such an amazing support. Thank you. You have gone above and beyond to help him, and I'm so grateful. It has given him a huge amount of confidence knowing that you believe him too. Thanks again for all your help. '</p>
Occupational Therapy	<p>Thank you, thank you, thank you. By suggesting the changes in my home you have given me my life back. Here's to you helping many more people who feel trapped in their homes. There was definitely someone looking down on you when you chose your career!</p>
DCAS West Hub	<p>A letter from a service user and his wife who initially completed 10 days care and support from the Dom care team. They were deeply impressed with the quality of support, the care received and the staff showed real understating of their situation. The staff were skilled, helpful and courteous at all times, which made a huge difference to their lives allowing them to get back on their feet.</p>
Bonymaen House	<p>A very big thank you to all the staff at Bonymaen House for the care and attention received during my stay. A relaxing and friendly atmosphere and encouragement from everyone who helped me recover.</p>
Intake Team	<p>Call to Intake to thank them for their assistance with family member</p>
Senior Management Team	<p>Thank you letter to Head of Adult Services in response to a complaint. My wife and I are completely satisfied with your commendable, thorough investigation into this matter and wish to thank you for the compassionate manner with which you have worded your response to my initial enquiry.</p>

Hospital Social Work team	Email from relative: I am writing now just to thank you for all the help you gave to us (and especially to me) during my mother's last weeks. I am immensely grateful to you for keeping me so well informed about what was going on in Swansea, and also for your great kindness, concern, and assistance in arranging practical matters. You really did help to make a very difficult time easier, and I am deeply grateful to you. Thank you very much indeed.
Ty Waunarlwydd	Thank you for your care and consideration given to our mother over the years she has lived at Ty Waunarlywdd. She was always happy and content.
North Hub	Thank you card from family members to the team thanking the team for their help, understanding and management of care of their mother.

Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

**CHILDRENS SERVICES COMPLAINTS
ANNUAL REPORT 2016-2017**

Purpose:	To report on the operation of the Complaints Team in relation to Childrens Services for the period 1 April 2016 to 31 March 2017.
Report Author:	Andrew Taylor
Finance Officer:	Julie Davies
Legal Officer:	Tracey Meredith
Access to Services Officer:	Sherill Hopkins
FOR INFORMATION	

1.0 Introduction

- 1.1 The City and County of Swansea (CCS) Social Services Complaints Procedure seeks to empower service users or those eligible to speak on their behalf to voice their concerns in relation to the exercise of Social Services functions.
- 1.2 With effect from 1 August 2014 revised legislation came into effect, bringing the Social Services complaints procedure into line with other complaints procedures across public services, in particular the process for NHS '*Putting Things Right*'. The Social Services Complaints Policy has been revised to accommodate the requirements of the new legislation and full details of the new policy can be viewed online at: www.swansea.gov.uk/complaints . The legislation requires the reporting of additional information which has been incorporated into this report.
- 1.2.1 CCS Childrens Services are committed to ensuring that concerns raised are listened to and resolved quickly and efficiently. Lessons learned from this process are fed back to relevant teams and used wherever possible to improve future service delivery.
- 1.4 Our aim is to resolve complaints at the earliest opportunity and teams are encouraged to be proactive in achieving this goal.

1.5 Where someone has been deemed 'not eligible' to utilise the social services complaint procedure in accordance with guidance/legislation, their complaints may be dealt with under the corporate complaint procedure. This ensures that everyone is able to voice their concerns and that a complaints mechanism is accessible to everyone.

1.6 Appendix 1 contains all tables referred to in this report.

2. Total Complaints received during the reporting period

2.1 **Table 1** shows this year's total complaints received by the Complaint Team in respect of Childrens Services with the previous two years' figures for comparison.

2.2 The number of Stage 1 complaints received this year remains broadly in line in with last years' figure.

2.3 Under the Social Services complaints policy, both the old and new legislative framework allow complainants to immediately request a stage 2 investigation. Through efforts to resolve complaints internally wherever possible, the number of stage 2 complaints this year remains relatively low.

3. Analysis of Stage 1 Complaints

3.1. A detailed breakdown of the Stage 1 Complaints received by Service Area is shown in **Table 2**. Complaints need to be acknowledged within 2 working days, and in 95% of cases where complaints proceeded to conclusion, discussions took place within 10 working days.

3.2 Complaints have been broken down by individual service team this year, in order to provide greater clarity on specific areas where complaints are being received. This will help with the identification of systemic issues and trends which can then be scrutinised more closely within those teams affected.

3.3 Due to continuing changes in the structure of Childrens Services it is possible that the teams shown below have since been reorganised and may no longer exist as the teams set out below. Adjustments will be made to the team names year on year as required to reflect any such changes.

4. Stage 2 Complaints

4.1 Complaints are considered at Stage 2 of the complaints procedure either where we have not been able to resolve the issues to the complainant's satisfaction at stage 1, or the complainant has requested that the matter be immediately considered at Stage 2.

- 4.2 Both the old and new social services complaint regulations give an eligible complainant a statutory right to request Stage 2 of the process. Complainants are able to request that their complaint is dealt with directly at Stage 2 should they wish, and is not dependent on having been investigated at stage 1 or the outcome at stage 1.
- 4.3 An independent investigator person is commissioned for a Stage 2 investigation, with the work of the investigator overseen by an independent person to ensure the investigation is carried out in a fair and proper way. A formal report is produced which presents the facts and considers the feelings around the difficulties to suggest ways to move forward. Resolution and applying lessons learned is the prime objective of the complaints procedure.
- 4.4 **Table 3** provides a summary of the complaints handled at Stage 2 of the complaints process.
- 4.5 The Social Services Complaints Procedure has set criteria as to who can raise a complaint under that policy. Where an individual is not eligible to make a complaint under the Social Services complaints policy, their concerns will be handled through the Authority's Corporate Complaints Procedure.
- 4.6 The timeframe for dealing with Stage 2 complaints is 25 working days under the Social Services complaints policy, or within a reasonable time agreed with the complainant due to the complexity of a case or where enquiries could be extensive to provide a comprehensive review. For complaints made after the implementation of the new regulations, where an extension of time is sought this will normally only be granted with the permission of the Chief Social Services Officer or other delegated officer on their behalf. All investigations this year were subject to extended periods of time.
- 4.7 Whether the complaint is upheld or not, staff need to reinstate confidence in a good working relationship with the service user or their representatives, to move forward following the formal Stage 2 Process.
- 4.8 There were 3 complaints received in this reporting period that went to investigation at Stage 2.
- 4.9 **Summary of Stage 2 complaints**
- 4.15 **Case 1: Looked After Children (LAC) Team: 8 out of 18 investigated complaints upheld / upheld in part**
- 4.15.1 A number of complaints were received from a couple who felt they were not receiving sufficient support from Social Services, including poor communication from social workers and failures to respond to enquiries.
- 4.15.2 The investigation found that the support provided had not met the standard that would normally be expected and that communication should have been better. Apologies were provided for the shortcomings that were identified and

additional training provided to staff to ensure better support and communication would be provided in future.

4.16 Case 2: Swansea Valley Team: 0 out of 6 complaints upheld / upheld in part

4.16.1 The complainant was unhappy with the lack of communication from Social Services, including not being invited to meetings, failure to provide updates and not returning calls.

4.16.2 There was evidence to show that the complainant had been invited to some meetings but not others. A full explanation was provided as to why attendance at those meetings to which he was not invited would not be appropriate.

4.17 Case 3: Swansea Valley Team: 7 out of 10 complaints upheld / upheld in part

4.17.1 A complaint was received concerning poor communication from a social worker, including failure to attending meetings as arranged and making last minute changes to contact arrangements on a number of occasions. It was also alleged that insufficient research had been carried out when determining suitable temporary accommodation for a child following a safeguarding referral.

4.17.2 Officers have been reminded of the importance of keeping clients updated at the earliest opportunity when meeting arrangements need to be changed. The team has been asked to reflect on all areas where failings have been identified to ensure lessons are learned and operational procedures are improved.

5.0 Complaints made to the Public Services Ombudsman for Wales (PSOW)

5.1 The remit of the Public Services Ombudsman for Wales is to identify whether a member of the public has suffered hardship or injustice through maladministration, or identify where services have fallen below a reasonable standard. There is an obligation for a report to be produced on any investigation the office accepts. The reports produced are defined under two separate headings. Section 16 (Public Interest) Reports, for which there is a requirement for the Authority to publish details and Section 21 Investigation Reports which do not need to be published. Further details of the role of the PSOW can be found at <http://www.ombudsman-wales.org.uk>

5.2 The PSOW has produced his Annual Report for 2016/17, containing details of cases where the Ombudsman has identified failures in service delivery by public bodies across Wales. There have been no findings of maladministration by the Ombudsman in relation to Swansea Children's Services this year.

The Ombudsman's report can be seen online at <http://www.ombudsman-wales.org.uk/en/publications/Annual-reports.aspx>

6. Reasons for complaints and their outcome

- 6.1 Further analysis of the reasons for complaints is shown in **Table 4**. Whilst service users have unique and complex individual circumstances, complaints have been grouped under 'best fit' generic headings for reporting purposes.
- 6.2 Wherever possible, lessons are learned and improvements are made to service delivery when a complaint is upheld. 19% of complaints were found to be justified/partly justified this year, which is slightly lower than the equivalent figure for 2015/16 (25%).

7. Advocacy

- 7.1 Advocacy services exist to represent children's views and feelings when dealing with organisations. Social Services engage in statutory arrangements to ensure the welfare of clients with mental health and learning disability needs where capacity is compromised and provide signposting to other organisations providing such services.
- 7.2 The Complaints Officer will work with groups and organisations providing advocacy services, to address issues and promote the provision of assistance to service-users through the complaints process. Effective engagement with advocacy services empowers more individuals and groups to make use of the complaints process at the earliest opportunity.

8.0 Compliments

- 8.1 Adult Services have received in excess of 50 compliments over the course of the year. Set out in **Table 5** are some examples of the compliments which have been passed to the complaints team this year in relation to Childrens Services. The individual staff members have been made aware of the compliments concerning them as has the Head of Service.
- 8.2 As well as substantial acknowledgements of thanks from service users that are given to staff at the point of service delivery, service users, relatives or friends can convey their appreciation more formally through the Comment or Compliment process.
- 8.3 Many complaints are often accompanied by compliments for other elements of service provision.
- 8.4 Compliments received are an equal reflection of individual and team efforts and Childrens Services teams should be encouraged by their successes having regard to compliments received.

9. Equality and Engagement Implications

- 9.1 There are no direct equality and engagement implications arising from this report.

10. Financial Implications

- 10.1 All costs incurred in dealing with complaints have to be covered within existing Budgets in Corporate Services.
- 10.2 External Independent Investigators and Independent Persons may be appointed to deal with some complaints in accordance with legislation. The cost to the Authority of providing this service in 2016/17 for Childrens Services was £3,165

11. Legal Implications

- 11.1 Complaints have be administered in accordance with the regulations outlined in paragraph 1.2 above.

Background papers: None

Appendices: Appendix 1 – Statistical Data Tables

Appendix 1 – Statistical data in Tables

Table 1 - Total number of complaints received by Complaint Team				
	Year	2014/15	2015/16	2016/17
Service Requests		14	18	16
Corporate		19	21	28
Social Services Stage 1		150	115	118
Social Services Stage 2		12	3	3
Ombudsman		6	5	4
Totals		204	162	169

Table 2 – Total Stage 1 complaints by Service Area	
CCARAT	8
Child Care Legal	1
Child Disability Team	3
Conference Chairing	2
Contracting	1
Domiciliary Care (DCAS)	1
Foster Swansea	1
Friends & Family	2
Independent Reviewing Officers	2
Looked After Children	4
Looked After Children (14+)	1
Penderry Team	13
Swansea East Team	21
Swansea Valley Team	23
Swansea West Team	19
Townhill Team	15
SS General	1
Totals	118

Table 3 – Total Stage 2 complaints by Service Area		
Service	Outcome	ID
Looked After Children (LAC) Team	8 / 18 complaints justified	Case 1 (see paragraph 4.15 above)
Swansea Valley Team	0 / 7 complaints justified	Case 2 (see paragraph 4.16 above)
Swansea Valley Team	7 / 10 complaints justified	Case 3 (see paragraph 4.17 above)

Table 4																		
Reason for Complaints and their outcome	No. of Complaints	Justified	Not Justified	Partially Justified	Not Pursued	Not Eligible	Withdrawn	Refer to Safeguarding	Local Resolution	Impasse	Concurrent Investigation	Directed to another forum	For Information Only	Matter in court	Department to action / monitor	Not taken up	Out of remit	Escalated to Stage 2
Breach of confidentiality	2	1								1								
Child protection concerns	2											1			1			
Disagree with rules set	1					1												
Dissatisfaction with contact	5		3			1								1				
Dissatisfaction with assessment	3				1									1		1		
Excessive waiting time	1	1																
Failure to action information	1		1															
Financial issues / Direct Payments	1	1																
Inadequate home support	1							1										
Lack of consultation																		
Lack of support	2				1													1
Poor Communication	11	3	1	2	3									2				
Request for information	1												1					
Request for placement move	1					1												
Staff Attitude / Misconduct	1						1											
Unhappy with action taken	64	2	21	8	9	5	2	2	1		2		2	6		2	1	1
Unhappy with assessment																		
Unhappy with decision	7		3		2			1					1					
Unhappy with level of service	13	3	5	1			1		1				1		1			
Unhappy with response	1								1									
TOTALS	118	11	34	11	16	8	4	4	3	1	2	1	5	10	2	3	1	2

Table 5 – Examples of Compliments Received

Teams	Nature of Compliment
--------------	-----------------------------

CCARAT	Social workers and Team Leaders praised by Home Office/Oasis UK regarding the management of an Asylum seeker to Swansea.
CCARAT Team (Safeguarding)	Could I compliment your service on such a swift response. Please send this to whichever department deals with compliments as I am very impressed by the service I have received.
Child & Family	Praise from Swansea Asylum Seeker and Refugee agency, the key Welsh Refugee Council Move On Officer in Swansea (who has worked with other local authorities) praised Social Services and Housing in CCS for their rapid response, support, help and approachable manner that she has experienced whilst working with the services.
Family Group Conference unit	The judge was very complimentary of officers work in respect of the analysis, and evidence given (which took 6 hours!) and about the focus on the child's needs.
Flexible Home Support	1. Thank you card from family 2. Thank you card from family thanking for all the fun times the child had spent with them and he enjoyed this very much 3. Thank you card from family for all the support that they had provided them with.
Friends and Family	Carer was very appreciative of, and wanted to pass on thanks to worker for providing the 'most professional...structured' contact recording that she has received to date. Carer felt reassured that child's emotional safety was being considered and protected and that she as legal guardian was given a detailed and full context recording of the session.
Independent Reviewing Officers	Feedback from a Childrens Psychiatric Nurse who attended a Looked After Child review. The CPN had been involved in this case for some time, said she was very impressed with how the IRO chaired the meeting, ensuring mother's involvement in the process and innovative ideas about contact arrangements. She said the focus was very much on ensuring needs were met, which I know are complex, Clearly she was exercising your role as IRO to a very high standard to really drive the care plan.
Option 2	Compliment from a foster carer to worker: "Just to say that I really enjoyed working with you and I would HIGHLY recommend you because you are really effective and willing to go above & beyond to stand out and go the extra mile. I'm sure many families in similar situations as ours would benefit in the future from your help.

RAY Project – InfoNation	Positive feedback from school regarding the successful delivery of the Ray project, the children engaged brilliantly and another session was requested.
Supervised contact Team	From a child. Thank you, you're simply amazing. Thank you for all your guidance and support over the last six months we are going to miss you.
Transportation Unit	Compliment from a school : "I am just letting you know what a wonderful day 'A' had in Harry Potter yesterday, only made possible by you and your staff . I just want to thank you from everybody, including A's Mum for pulling out all the stops to make this happen, and on his birthday as well. We weren't quite sure how Jack would be as it is a long day, but we needn't have worried as the drivers were brilliant and made it possible for the staff and pupils just to sit back and enjoy a day that we will all never forget "
Valley Team	Email from Head Teacher thanking for the excellent communication from Social Worker to school. it has made a very difficult set of circumstances go as smoothly as could be hoped.
Valley Team	Following the granting of a Supervision Order, A Social Worker's efforts were recognised and praised by all the parties in Court and the guardian commented in his report: <i>'Likewise, the social worker has been an important catalyst in the process and her caring, professional approach has made an important contribution to the outcome for M.</i>
West Team	Thank you text from mum to social worker who had closed the case. Mum thanked social worker for helping the family a lot and wouldn't hesitate to contact her again should she have any further difficulties.
Western Bay Adoption	Compliments from Adopters:- <ul style="list-style-type: none"> • Thank you from the bottom of our hearts for helping us to become a family and also for all of your support and Guidance. • We would like to thank you so much for all your help our little boy has brought so much joy to our lives

APPENDIX 4

Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

FREEDOM OF INFORMATION (FOI) ANNUAL REPORT 2016-2017

Purpose:	To report on requests for information made under the provisions of The Freedom of Information Act 2000 for the period 1 April 2016 to 31 March 2017
Policy Framework:	None.
Consultation:	Access to Services, Legal, Finance.
Report Author:	Andrew Taylor
Finance Officer:	Carl Billingsley
Legal Officer:	Tracey Meredith
Access to Services Officer:	Sherill Hopkins

FOR INFORMATION

1. Introduction

- 1.1 The Freedom of Information (FOI) Act 2000 places a duty on all Public Authorities to comply with the general right of access to all types of “recorded” information held by the Authority (unless an exemption applies under the Act). This right of access to information came into force on 1 January 2005.
- 1.2 FOI Requests must be dealt with within 20 working days. Failure to comply may result in a complaint against the Council being investigated by the Information Commissioner.
- 1.3 The FOI Act is fully retrospective and applies to all information held by the Council. The Council adopted a Corporate Policy on Freedom of Information and on Records Management in December 2004.
- 1.4 The FOI policy sets out the Council’s commitment to making information publicly available unless there are sound operational or public interest reasons for not doing so or there are legal reasons preventing it.

- 1.5 FOI covers all recorded information held by the Authority. Recorded information may be in any format e.g. paper, floppy disk, video and includes both electronic and paper versions of records such as email messages, correspondence, reports, minutes of meetings and telephone attendance notes.

2. The FOI Process

- 2.1 The Complaints Team logs and monitors requests for information under the Act. All FOI Requests must be in writing, however a request need not state that it is made under the FOI legislation. The information requested must be adequately described. Authorities are under a duty to provide advice and assistance to applicants. It is a criminal offence both personal and corporate to destroy information to prevent its disclosure under FOI.
- 2.2 Once logged, FOI's are allocated a unique number and passed to the appropriate Departmental FOI Officer. The FOI Officer decides whether to call a FOI Panel in order to consider if there is a need to apply an exemption or to release the information requested.
- 2.3 The Complaints Team monitor progress of the request to try and ensure that the 20 working day timescale is adhered to.
- 2.4 The Complaints Manager is ultimately responsible for all FOI Reviews required under the Act, which arise if the requester is unhappy with the response. The FOI decision is reviewed in conjunction with a Legal Officer and where appropriate a representative from the relevant Department.
- 2.5 Requesters also have a further right of appeal to the Information Commissioner's Office (ICO).

3. Information Request Statistics

3.1 Table 1 below shows information requests received this year, broken down by Service Area:

TABLE 1 – Information Requests By Service Area					
Service Area	FOI Requests	Subject Access Requests	FOI /SAR Reviews	Appeals to Information Commissioner	Totals
Information/Communication Technologies	58		1		59
Social Services (Children Services)	58	10	1	2	71
Social Services (Adult Services)	83	11	1	1	96
Communications	28		1		29
Corporate Building Services	2				2
Corporate Property Services	29				29
Culture & Tourism	56		3		59
Environment	112	1	3	1	117
Waste Management	40	1	1		42
Financial Services	193		3		196
Human Resources	74	4	3		81
Housing	66	8	3		77
Legal & Democratic Services	82	1	5		88
Planning	54	2	5		61
Education	116	9	1		126
Commercial Services & Procurement	7				7
Transportation & Engineering	167	15	6		188
Totals	1225	62	36	4	1327

3.2 Table 2 below shows the rise in information requests since 2009.

Financial Year	Requests Received (FOI, EIR & SAR)	Year on Year Difference
2009/10	607	
2010/11	726	+119
2011/12	838	+112
2012/13	932	+94
2013/14	1154	+222
2014/15	1185	+31
2015/16	1354	+169
2016/17	1327	-27

4. Timeliness of Responses to FOI & EIR Requests

- 4.1 **1225** requests were received during 2016 / 2017 representing a **2.1 %** decrease on last year's figures. Of the requests received this year, (**74.9%**) were responded to within the FOI time limit of 20 working days. The response rate within timescale is an improvement on that of last year (**70.4%** for 2015/16), as a result of recent improvements in administrative processes.

5. Type of Applicant

- 5.1 FOI requests are received from a variety of sources. The table below gives a breakdown of the type of applicant that made the FOI Request.

Table 2 - FOI Request by Type of Applicant	
Type of Applicant	No.
Commercial Organisation	184
Freelance Journalist	10
Individual	752
Media	165
Not for Profit	34
Politician	75
Solicitors	5
Total	1225

6. Responses to FOI Requests

- 6.1 Table 3 below shows a breakdown of the type of response that the Council gave to the FOI Requestor. It is pleasing to note that **991** of the **1270** (78%) were either fully disclosed or mainly granted. This statistic clearly shows the Council's commitment to openness and transparency.

Table 3 - Type of Response given to FOI Requestor	
Type of Response	No.
Full Disclosure	832
Completely Refused	63
Data not held	75
Mainly Granted	128
Mainly Refused	61
Not Pursued / Withdrawn	47
Timed Out *	8
Ongoing / Incomplete	11
Total	1225

* The "Timed Out" category is used where an applicant did not respond to a request for clarification, therefore the request could not be processed.

8. Responses where Exemptions were necessary to withhold Information

8.1 Table 4 below shows a breakdown of the exemptions used under the FOI Act to withhold information.

Table 4 - Number of and List of FOI Exemption Used		
Section	Exemption	No.
12	Cost of Redacting & Extracting Information	71
14	Vexatious & Repeated Requests	1
21	Information accessible to applicant by other means	1
22	Information intended for future publication	3
30	Investigations & Proceedings	5
31	Law Enforcement	7
32	Court Records	0
36	Effective Conduct of Public Affairs	0
38	Health & Safety	3
40	Data Protection	30
41	Information provided in confidence	2
42	Legal professional privilege	3
43	Commercial Interest	48
Totals		174

Note: In some cases more than one exemption was used to withhold data requested.

9. Reviews and Appeals

9.1 There were **36** FOI Reviews carried out during 2016/17. Of the reviews conducted, the original decision was upheld in 17 of those cases.

9.2 The Requester appealed to the Information Commissioner's Office (ICO) in **3** of those cases. Details of the ICO appeals and their outcome is summarised in Table 5 below.

Table 5 - Appeals to the Information Commissioner's Office (ICO)		
	Information Requested	Outcome of Appeal
Case 1	Information request relating to Public Health Funerals	The information requested was deemed to be in the public interest and the Authority was instructed to release it the requester
Case 2	Request for information about lifeline equipment	Ongoing
Case 3	Appeal against decision not to release personal information	The Authority breached requirements of the Data Protection Act because it failed to provide a complete response within the prescribed period.

10. Looking Forward

- 10.1 New legislation is being introduced in May 2018 called the General Data Protection Regulation (GDPR). In order to ensure that the Authority is fully prepared for these changes, an Information Governance Unit (IGU) has been created which will focus on the introduction of this legislation and oversee all matters relating to information management across the Authority. The IGU will also be reviewing the processes used in the handling of information requests with a view to further improving both the quality of responses and the percentage of cases replied to within 20 working days.

11. Equality and Engagement Implications

- 11.1 This report provides a breakdown of information concerning requests for information for the prescribed period as such reflects current practice and involves no changes to service delivery. Consequently there is no requirement for an Equality Impact Assessment.

12. Financial Implications

- 12.1 All costs incurred through dealing with FOI have to be covered within existing budgets.

13. Legal Implications

- 13.1 None

Background Papers: None

Appendices: None

APPENDIX 5

Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

REGULATION OF INVESTIGATORY POWERS (RIPA) ANNUAL REPORT 2016-2017

Purpose:	To report on the operation of the Authority's use of covert surveillance, conducted under the provisions of The Regulation of Investigatory Powers Act (RIPA) 2000 for the period 1 April 2016 to 31 March 2017
Policy Framework:	None.
Consultation:	Access to Services, Legal, Finance.
Report Author:	Andrew Taylor
Finance Officer:	Carl Billingsley
Legal Officer:	Tracey Meredith
Access to Services Officer:	Sherill Hopkins
FOR INFORMATION	

1. Introduction

- 1.1 The Regulation of Investigatory Powers Act (RIPA) 2000 allows local authorities to conduct covert surveillance activity in circumstances where it is for the purpose of preventing or detecting crime or of preventing disorder. It also allows local authorities to acquire communication data from Communication Providers.
- 1.2 The process must be in accordance with the Home Office's Code of Practice for Covert Surveillance and Code of Practice on Acquisition of Communication data and this report has been prepared in line with best practice.
- 1.3 This report will provide an overview to the Cabinet of the Authority's practices and activity regulated by RIPA.

1.4 Glossary of Terms

RIPA	Regulation of Investigatory Powers Act (RIPA) 2000
OSC	Office of Surveillance Commissioners – Central Government
IOCCO	Interception of Communications Commissioner’s Office
Inspection	Biennial event to monitor compliance in surveillance matters
RIPA Application	A request for a surveillance exercise
Applicant	Officer requesting surveillance
Countersigning Officer	An officer who brings further experience to the Application
Authorised Officer	Officer responsible for surveillance compliance and monitoring
CHIS [defined in Section 26(8) of the Act]	Covert Human Intelligence Source. A person is a covert human intelligence source if— (a)he establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating the doing of anything falling within paragraph (b) or (c); (b)he covertly uses such a relationship to obtain information or to provide access to any information to another person; or (c)he covertly discloses information obtained by the use of such a relationship, or as a consequence of the existence of such a relationship.
Gatekeeper	Officer responsible for administration of surveillance practice
FOI	Requests under the Freedom of Information Act 2000
Communications Data [defined in Section 21(4) of the Act]	(a) any traffic data comprised in or attached to a communication for the purposes of any postal service or telecommunication system by means of which it is being or may be transmitted; (b) any information which includes none of the contents of a communication (apart from any information falling within paragraph (a)) and is about the use made by any person— (i) of any postal service or telecommunications service; or (ii) in connection with the provision to or use by any person of any telecommunications service, of any part of a telecommunication system; (c) any information not falling within paragraph (a) or (b) that is held or obtained, in relation to persons to whom he provides the service, by a person providing a postal service or telecommunications service.

2. Service Delivery

- 2.1 A list of authorised officers is shown in Appendix 1.
- 2.2 Table 1 below shows the types of surveillance permitted under RIPA for Local Authority use, comparing annual usage over the last 5 years.

TABLE 1 - Surveillance Permitted Under RIPA					
	2012-13	2013-14	2014-15	2015-16	2016-17
Directed	9	4	1	1	0
Interception of Communications	0	0	0	0	0
Acquisition / Disclosure of Communications Data	44	0	0	0	0
Covert Human Intelligence Source	0	0	0	0	0

2.3 Directed Surveillance

2.3.1 Directed surveillance is covert surveillance which is carried out in relation to a specific investigation which is likely to result in the obtaining of private information about a person. Since 1 November 2012, pursuant to the Protection of Freedoms Act 2012 and amendments made to RIPA legislation, such techniques may only be used where the offence under investigation either:

- (a) attracts a maximum penalty of at least 6 months imprisonment; or
- (b) is contrary to either Section 146 or 147 or 147A Licensing Act 2003; or
- (c) is contrary to Section 7 Children and Young Person Act 1993.

No authorisations were granted during 2016-17 as shown in Table 2 below. This reflects officer's commitment to explore the least intrusive method of gaining information to carry out the Local Authority's responsibilities.

2.4 Acquisition and Disclosure of Communications Data

2.4.1 Since 8 February 2012, the City & County of Swansea (CCS) has subscribed to the National Anti-Fraud Network (NAFN)'s Single Point of Contact Services to acquire this information. Annual Returns are provided to the Interception of Communications Commissioner's Office on a calendar year basis.

2.5 Covert Human Intelligence Source (CHIS)

2.5.1 No CHIS activity took place during this year.

2.6 Surveillance Activity

2.6.1 Table 2 below shows the use of RIPA by services and its purpose within the City and County of Swansea

TABLE 2 - Use of RIPA		
Directed Surveillance		
	0	
Covert Human Intelligence Source		
	0	
Acquisition and Disclosure of Communications Data		
	0	

2.6.2 CCS operates an extensive Closed Circuit Television (CCTV) system to provide a safer environment for the community. The system is managed and developed in partnership with the South Wales Police. The use of CCTV is not covered by the same regulations as the surveillance reported on above as it is an overt not covert method of observation. A separate code of practice and annual report apply to the CCTV system and are public documents.

2.6.3 If requested the system can also be used for directed surveillance by the police for law enforcement purposes or for a specific exercise. If this does occur, the use changes from overt to covert surveillance and will be regulated by RIPA. The Police have responsibility to comply with the legislation in these cases. As a matter of transparency and good practice we will include in this report the use of our equipment for this purpose. Any specific use for local authority purposes would be reported under service usage.

2.6.4 During 2016-17, no directed surveillance requests were made by the police to utilise the authority's CCTV equipment which were conducted under Police RIPA authorisations.

3. Progress & Development

3.1 Since 1st November 2012, all local authority surveillance and access to communication data authorised under the Regulation of Investigatory Powers Act 2000 (RIPA) have required the approval of a Magistrate.

3.4 The list of Authorised Officers reflects those services most likely to conduct criminal investigations which satisfy the serious crime test set out in the legislation above. This would include Trading Standards and Housing Benefit officers.

3.5 It should be noted that from 1 June 2015 Housing Benefit fraud investigations have been conducted solely by the Department for Works and Pensions.

4. Freedom of Information (FOI)

- 4.1 Media coverage of incidents in other parts of the country brought to the public attention local authorities ability to use surveillance under RIPA. This was reflected in the receipt of related media enquiries.
- 4.2 There have been 2 FOI requests related to RIPA activities during the year. In both cases the requester was provided with details of past annual reports which provided the information requested.

5. Equality and Engagement Implications

- 5.1 There are no equality and engagement implications

6. Financial Implications

- 6.1 All costs incurred in dealing with RIPA have to be covered within existing budgets.

7. Legal Implications

- 8.1 As set out in the Report

Background Papers: None

Appendices: Appendix 1 – Authorised Officers

TABLE 3 – RIPA Authorised Officers.	
Name	Department / Section
Phil Thomas	Housing Benefit
Lynda Anthony Huw Morgan David Picken	Environmental Health Environmental Health Environment Health (Trading Standards)

Agenda Item 5



Report of the Convener

Service Improvement and Finance Scrutiny Panel 10th January 2018

Sustainable Swansea – Fit for the Future: Budget Proposals 2018/19 – 2021/22

Purpose:	To enable the Panel to understand the Sustainable Swansea – Fit for the Future: Budget Proposals 2018/19 – 2021/22. To identify if there are any areas of discussion that require further scrutiny.
Content:	Sustainable Swansea – Fit for the Future: Budget Proposals 2018/19 – 2021/22
Councillors are being asked to:	Consider the report and make any comments or recommendations to the relevant Cabinet Member
Lead Officer & Report Author:	Ben Smith E-mail: Ben.Smith@swansea.gov.uk

1. Background

- 1.1 As part of its role the Panel has the opportunity to review and discuss Sustainable Swansea – Fit for the Future: Budget Proposals 2018/19 – 2021/22. This is in order to assist in identifying whether there are any points that require further scrutiny.
- 1.2 The Panel can review the issue itself or through referral to another scrutiny performance panel or the Scrutiny Programme Committee.
- 1.3 The Sustainable Swansea – Fit for the Future: Budget Proposals 2018/19 – 2021/22 was reported to Cabinet on 14th December 2017.
- 1.4 Ben Smith, Head of Financial Services and Service Centre will attend to present the report to the Panel and answer any questions. Service specific questions may need to be referred to the relevant directors.

Background papers: None



Report of the Leader and Cabinet Member for Economy & Strategy

Cabinet – 14 December 2017

Sustainable Swansea – Fit for the Future: Budget Proposals 2018/19 – 2021/22

Purpose:	To consider budget proposals for 2018/19 to 2021/22 as part of the Council's Budget Strategy <i>Sustainable Swansea – fit for the future</i>
Policy Framework:	Medium Term Financial Plan and Budget <i>Sustainable Swansea – Fit for the Future</i>
Consultation:	Cabinet Members, Corporate Management Team, Legal, Finance, Access to Services Team
Recommendation(s):	It is recommended that Cabinet: 1) Approves the Budget proposals summarised in the report and detailed in Appendix A and Appendix C as the basis of consultation 2) Adopts the updated budget future forecast as the starting planning premise for the new medium term financial plan, which will be considered by Council on 22 February 2018. 3) Agrees the approach to consultation and engagement with staff, trade unions, residents, partners and other interested parties set out in Section 7 of this report of the report 4) Receives a report on the outcome of the consultation and final budget proposals at its meeting on 8th February 2018.
Report Authors:	Ben Smith
Finance Officer:	Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar

1.0 Introduction

- 1.1 This report updates Cabinet on *Sustainable Swansea – fit for the future* and contains proposals for budget savings for consultation with residents, community groups and other stakeholders. It has full and due regard to our duties under the Well-being of Future Generations Act 2015.
- 1.2 *Sustainable Swansea – fit for the future* was approved by Council on 22 October 2013 and subsequently reviewed by Cabinet on 16th July 2015. It remains the Council's overarching approach to budget and medium term financial planning, to help deliver the well-being of future generations.
- 1.3 Since then, the Council, in line with the principles contained within *Sustainable Swansea*, has developed its approach to reviewing services and budget proposals through a series of commissioning reviews, which have set out an assessment of individual services, scope for change, alternative delivery models and potential savings and improvements that could be made. These commissioning review outcomes and future reviews form a significant part of 2018/19 and future year savings proposals.
- 1.4 On 26 October 2017, Council received a verbal presentation from the Section 151 Officer on the Mid-term Budget Statement for 2017/18 and beyond. This outlined the draft settlement from the Welsh Government, and gave an updated assessment of the savings required.
- 1.5 This was ahead of the Chancellor of the Exchequer's Autumn Budget on 22 November 2017, which as expected did have some minor loosening of financial plans to reduce public spending, in policy response to the referendum result for Brexit, amongst other matters. Announcements in this Statement will have consequential implications for Welsh Government for in year changes to 2018-19 and more importantly for the medium term. Nevertheless, the Welsh Government has been prepared to give indicative planning assumptions for not only 2018/19, but also 2019/20.

Final figures for 2018-19 and any potential announcements on future year implications are expected from Welsh Government towards the end of December 2017 when the final settlement will be confirmed. It is not expected that the Welsh Government's budget measures will be fully approved until January 2018.

Whilst not assured, it is a planning assumption that this Council could expect to receive between £1 - £1.5m of additional funding in the final settlement, as a result of the budget consequential flowing from Westminster, to the Welsh Government and ultimately to individual local authorities.

- 1.6 This report covers:
 - A reminder about the key elements of *Sustainable Swansea* and an update on progress

- An overview of service and budget priorities for the current and following three years
- An update on the financial challenge facing the Council
- The proposed savings programme, including specific proposals for 2018/19 and future years, upon which we will now need to consult
- The key risks associated with the current financial position
- Proposals for engagement and consultation
- Staffing implications
- Delivery and next steps

2.0 Background – Sustainable Swansea – fit for the future

2.1 The scale of the financial, demographic and sustainability challenge requires the Council to continue to adopt a radically different approach to previous years. An approach that focuses on:

- *The core future purpose of the Council*
- *The transformation of services and the model of delivery*
- *Greater collaboration with other councils and local organisations, community groups and residents*
- *And, above all, sustainable solutions with prevention at its heart*

This ambition is set out in *Sustainable Swansea – fit for the future*, our long-term plan for change, underpinned by our Innovation Programme.

2.2 The Strategy was agreed by Cabinet and reported to Council in October 2013. The Delivery Programme was approved by Cabinet on 29 July 2014 and was subject to further review and refresh at Cabinet on 16th July 2015.

It is important that we continue to use the narrative in all our communication and that we apply the budget principles across all our thinking. The budget principles are reflected in the proposals set out in this report.

2.3 Since the July 2015 meeting of Cabinet we have:

- Continued to work on the delivery of the Savings Programme – see **Appendix A**
- Commenced and delivered the first two phases of Service commissioning Reviews
- Identified our next phase of cross cutting reviews

2.4 These actions are covered in more detail in sections 5 and 7 below.

3.0 Our Service Priorities for 2018/19 and Beyond

3.1 Although the Council is currently focused on its plan, as set out in the existing MTFP, to save around £61m over the next three years, it is vital

that we continue to retain Member and management focus on the significant proportion of our budget that will remain. Our gross budget is approximately just under £700m (excluding Housing Services (HRA)) and we spend around £1.6m a day on services to residents (this excludes benefits in kind such as housing benefit and the council tax reduction scheme).

3.2 The Council has clear and strong long-term ambitions for Swansea and the proposals for savings must be seen in the context of the following:

- The Council's top 5 priorities and future plans for services (a revised Corporate Plan was agreed on 24th August 2017) to help deliver the well-being of future generations
- The core objectives of *Sustainable Swansea* – which embrace all that we do
- The application of the budget principles – which guide our decision making
- The ongoing and sustained reduction in external funding and the need to meet known budget pressures.

3.3 The Council's overall aim is to protect frontline delivery of services as far as possible. However, whilst many things are important, not everything can be a priority. It is important, therefore (particularly in the current climate of significantly reduced resources) that we set out clearly our expectations on all services and relative priorities for funding in the context of the £61m budget reductions that we face.

3.4 This requirement is illustrated sharply by the “gearing” effect of savings on services. In other words, if our current savings requirement of £61m over three years were applied, for example, just to Corporate Services (excluding Council Tax Reduction Scheme) and Place Services, the budgets for these areas would have to be almost cut in their entirety. Consequently, other areas such as Education and Social Care also need to face some relative real terms level of reduction over the next 3 years, given the relative size of their budgets.

3.5 A statement of budget priorities and policy statements that flow from this is set out in **Appendix B**. This statement follows an assessment of services in relation to the following criteria:

- **Invest:** those Services where the Council will increase current levels of investment
- **Maintain:** those services where the Council will broadly maintain current level of spend in the medium term
- **Remodel:** those services where the Council will reduce the current level of spend over the medium term

Regardless of relative funding levels, there is also an absolute requirement that **all services** must transform and strive for maximum efficiency.

3.6 Based on the statement of priorities and having regard to the “gearing effect” when considering savings, the indicative 3 year saving/investment targets for each major block of services is set out in Table 1 below (and Appendix B):

Table 1 – Indicative Targets

Service	Percentage Reduction/Increase over 3 Years at constant prices*
Schools and Education	-15
Social Care – Child & Families	-15
Social Care- Adults	-20
Poverty & Prevention	+5
Place	-50
Corporate Services	-50

Actual budgets will be set based on shares of service pressures, inflationary pressures and investment and specific savings decisions

3.7 This statement will form the basis of our future medium term financial plan, as well as individual service plans. Notwithstanding this broad target savings range, where it is appropriate to do so, and as set out specifically in this report, **additional targeted investment in to priority areas will also occur**. This particularly focuses on prevention, early intervention and investment for the future in line with the well-being of future generations principles and objectives.

4.0 Financial Update

4.1 The financial update that follows needs to be seen in the context of the Medium Term Financial Plan (MTFP) approved by Council on 23rd February 2017, and the Mid-term Budget Statement presentation to Council on 26th October 2017.

4.2 The indicative savings requirement for 2018/19 to 2020/21 included in the MTFP has been updated and set out in **Table 2** below. This now also includes a forecast for one more year, 2021/22:

Table 2 –Indicative Savings Requirement for 2018/19 to 2021/22

	Note	2018/19	2019/20	2020/21	2021/22
		£'000	£'000	£'000	£'000
Future cost of pay awards	1				
- Non Teachers		1,800	3,600	5,400	7,200
- Teachers		2,400	4,800	7,200	9,600
Pay and grading scheme	2	2,700	2,700	2,700	2,700
National Living Wage – own pay bill	3	700	2,400	2,400	2,400
National Living Wage – contracts		1,000	2,000	3,000	4,000
Increase in Pension Costs	4	1,700	3,400	5,100	5,100
Increased Teachers Pension costs	5	0	1,100	1,100	1,100
Cumulative contract inflation	6	1,000	2,000	3,000	4,000
Capital charges – existing	7	1,500	3,250	5,000	5,000
Capital charges - new scheme aspirations	8	0	1,500	3,000	5,000
Use of General Reserves	9	0	0	0	0
Use of Insurance Reserve	10	0	0	700	700
Demographic and Service pressures	11	3,000	6,000	9,000	12,000
Proposed targeted investment in services (EOTAS)	12	300	300	300	300
Mid and West Wales Fire authority Levy	13	300	800	1,400	1,900
Council Tax Support Scheme	14	1,300	2,300	2,800	3,300
Passported through AEF to services	15	6,076	6,076	6,076	6,076
Foster allowances - full year effect	16	700	700	700	700
Adult Services pre-existing baseline pressures from 2017-18	17	3500	3500	3500	3500
Total known pressures		27,976	46,426	62,376	74,576
Aggregate External Finance reduction	18	277	4,700	10,800	16,800
Rebase of External Finance	19	-6,076	-6,076	-6,076	-6,076
Total Savings Requirement		22,177	45,050	67,100	85,300

Notes:

1. *The pay award figures represent a forecast increase of 1% for the period of the MTFP for non-teachers, 2% for teachers.*
2. *Reflects the estimated costs of incremental pay progression in respect of those that gained from the implementation of the Council single status pay and grading scheme in April 2014. It is important to note that no allowance has been made for any additional costs which may arise due to the appeals process which at the current time are assumed to be **met from within Departmental budgets**.*
3. *Assumed increases due to implementation of National Living Wage - will affect contract prices and lower end of own pay scale - national spinal point currently being reviewed*

4. *The Year 2 and 3 costs arising from the triennial revaluation of the local government pension scheme effective from 1st April 2017. The provisional assumption is an effective stepped 1% increase each year to overall costs.*
 5. *The Teachers' Pension Scheme (TPS) increases in 2019/20 due to a reduction in the discount rate from 3% to 2.8% per HMT - TPS rises from 16.48% to just over 18%.*
 6. *Reflects the assumed minimum cumulative effect of contract inflation.*
 7. *The additional estimated borrowing costs as a result of the current Capital programme together with potential increases arising from externalisation of borrowing due to cashflow requirements.*
 8. *The initial additional estimated borrowing costs for the delivery of the major aspirational capital programme.*
 9. *The assumption at this early point that there will be no use of the General Fund reserve to support the 2018/19 and future budget.*
 10. *The 2017/18 budget report agreed an annual take from the insurance reserve for three years, this has now been further extended for two more years, after which this money can no longer be assumed available and alternative funding will need to be identified.*
 11. *Assumed Demographic and Service pressures mainly around Schools and Adult and Children's Services.*
 12. *Second year of agreed pressure for Education other than at School Service.*
 13. *Estimated Fire Authority Levy increase – the final figure won't be known until January/February.*
 14. *Reflects the assumed cost of Council Tax Support Scheme costs based on Council Tax increases as a planning assumption only at this stage as set out previously in the medium term financial plan.*
 15. *Reflects specific funding in the settlement for transfers, mainly for the waste element of the single revenue grant, the Welsh independent living grant, social care workforce grant etc.*
 16. *Foster allowances – the full year effect of previously agreed harmonisation of foster allowance rates with neighbouring authorities.*
 17. *Existing 2017-18 budget overspend pressures in Adult Services, which are expected to continue, and which need to be addressed as part of base budget.*
 18. *Reflects results of the provisional local government finance settlement for 2018/19 (-0.1%) and provisional guideline for 2019/20 (-1.5%), and assumes a reduction of 2% for future years.*
 19. *The starting position has been uplifted for the £6.076m transferring from specific grants to block grant.*
 20. *The exemplified savings target of £85m shown in Table 1 is indicative of the scale of savings required and will be revised as the 3 year MTFP progresses.*
- 4.3 Over recent years the Council has consistently prioritised the **delegated schools budget**, previously meeting its guaranteed funding requirement over a five year period. There is now no ongoing ministerial protection or funding guarantee so any decision over schools funding is a local one to

be made by Cabinet and ultimately by Council, having due regard to any budget consultation responses received.

- 4.4 With respect to the Current and Future **Capital Programme**, it is clear at the present time that future support from the Welsh Government in respect of general capital grant and supported borrowing on an annual basis is likely to remain severely curtailed.
- 4.5 The indicative allocation for 2018/19 in respect of both the above elements, at just over £10m, is insufficient to meet the current budgets allocations to cover core commitments as in **Table 3** below:

Table 3 – Capital Allocations for 2018/19 assuming spend maintained

	£m
Welsh Government funding	10.3
Allocation - property and highways maintenance	-7.4
Disabled Facilities Grants & Improvement Grants	-5.2
Annual Contingency budget	-0.6
<u>Shortfall</u>	<u>-2.9</u>

- 4.6 The remaining capital programme (including improvements to schools) is heavily dependent on future capital receipts and to that extent any shortfall in receipts is likely to require an increase in unsupported borrowing to balance the funding for the agreed programme.
- 4.7 Any rise in borrowing has a detrimental effect on future revenue funding, and thus on future generations, and has to be viewed in the light of the current projected reductions in external grant.
- 4.8 As such, it is inevitable that the future capital programme will have to be subject to regular review and will be dependent on receipt of specific grant and/or the availability of excess capital receipts.
- 4.9 The currently approved four year capital programme assumes additional unsupported borrowing of some £58m. Reduction of the core items above (4.5) to levels of Welsh Government funding could reduce the level of unsupported borrowing to approximately £49m. Consideration will have to be given to further remodelling of the existing planned capital programme if this level is to be reduced further.
- 4.10 In particular, and in direct contrast, further detailed consideration will also have to be given in respect of likely future commitments to, and funding options for, the second phase of the proposed Schools improvement programme, investment in the City Centre and funding requirements which will flow from the Swansea Bay City Region proposals. All of which will benefit not only current, but future generations. The initial impacts of new additional unsupported borrowing are reflected in Table 2 above, but are

ultimately expected to peak at nearer an additional £14m per annum over the longer term (by around 2025-26).

- 4.11 Given the limited revenue resources and the scale of the new investment ask over the extended medium term for new capital and the benefits to be felt by future generations the Section 151 officer considers it appropriate to review all options around changing the Council's Minimum Revenue Provision policy both for past and future investment. This has the potential to reduce the revenue costs in the medium term and increase them longer term, but crucially better match the future costs to the future benefits of that investment. This is entirely in line with the principles of the Well-being of Future Generations Act.
- 4.12 This is especially pertinent given much of the investment is on a City Region basis and the three other Council's in the region have already changed their MRP policies. A full report to Council reviewing the MRP policy will be brought to council during 2018-19 setting out the section 151 officer advice for Council to make a determination.
- 4.13 A report on the options for reprioritising the capital programme and/or increasing capital receipts, including the sale of strategic assets, will be brought to Cabinet in February 2018 as part of the budget process.
- 4.14 It should also be noted that whilst there is an assumption that any additional borrowing costs in relation to the Schools' capital programme could be funded via the delegated budget in the absence of Capital Receipts this is not reflected in current budget proposals (i.e. they are currently predicated to be funded by the Council as a whole).

5.0 Sustainable Swansea – Budget Proposals

- 5.1 Budget proposals to meet the current savings requirement for 2018/19 consist of the following elements:
- Continuation and development of service delivery savings
 - Commissioning review identified savings
 - Other elements of the *Sustainable Swansea* Delivery Programme approved by Cabinet particularly around cross cutting themes
 - Cash increase in Schools Delegated Budgets
 - Targeted investment into both Adult Services and Foster Allowances
 - Invest to Save proposals

Each of these categories are addressed below.

Funding changes in the settlement passport through to services

- 5.2 The following specific sums have been provided for in the settlement and are intended by Cabinet to be passported fully through to service budgets.

Table 4 – funding passported in the settlement 2018/19

		£'000
2018/19	Waste element of the Single Revenue Grant	2,516
2018/19	Welsh Independent Living Grant	1,222
2018/19	Social Care Workforce Grant	1,500
2018/19	Looked After Children	568
2018/19	Carers' Respite Care Grant	237
2018/19	Social Care for Prisoners in the secure estate	33
2018/19	Total transfers in	<u>6,076</u>

Further Service pressures

5.3 Further service specific pressures have been identified in respect of:

- Increased National Non Domestic Rates costs due to rating revaluations
- Continuation of the waste vehicles replacement programme
- Increase in transportation support to increase capacity to cope with current and future demand
- Temporary loss of rental income
- Pressures in Child and Family Services
- Future investment needed for mitigation of demand for Education out of County provision
- Demographic provision for schools (increased future pupil numbers)
- Increased finance support costs in relation to increased capital and pensions support
- Baseline provision for items currently funded by the contingency fund
- (including increased Coroners costs, Members environmental improvements, Deprivation of Liberty Safeguards and Public Service Board support)
- Additional funding for digital inclusion and organisational development

Service investment

5.4 Service investment requirements have been identified in respect of:

- Provision of teaching facilities and support in respect of Education Other than at School (EOTAS), this was identified and agreed for 2017/18, increased further funding was identified for 2018/19 as well.
- Costs of harmonising foster allowances with neighbouring authorities
- Adult Services pre-existing baseline pressures from 2017-18. These have been reported as in-year pressures during 2017/18.

- £1m a year for four years will be provisionally set aside in an earmarked reserve to help deliver, an assumed successful, bid to host UK City of Culture 2021.

Service Savings

5.5 Service investment requirements have been identified in respect of planned savings for 2018/19 resulting in a position as set out in **Table 5**:

Table 5 – Review of Planned Savings 2018/19

	Proposed savings 2018/19 £'000
Resources	3,474
Place	3,318
People – Poverty & Prevention	591
People - Social Services	6,258
People - Education (excluding schools)*	906
Cross Cutting Items	2,455
Total	17,002

*Schools savings and pressures fall entirely to the delegated budgets and are shown separately

5.6 **Sustainable Swansea**

As set out in section 2 above, through *Sustainable Swansea*, the Council is committed to changing the design and delivery of services and to a fundamentally different approach to demand management and early intervention.

In particular, the Council has embarked on a series of commissioning reviews across all services and the results of a number of those commissioning reviews have been presented to Cabinet and agreed over the past few months.

Outcomes of further commissioning reviews are expected on a recurring basis and, where specific outcomes require, full consultation and engagement take place before any actions are delivered.

It is anticipated, in line with the principles previously established, that where outcomes from reviews are presented then consultation and action

to implement will be undertaken on a rolling basis outside the normal budget cycle.

5.7 The previously agreed programme of Commissioning Reviews is as follows:

Phase 1
Culture and Leisure
Business Support
Non School Cleaning
Waste Management
Domiciliary Care
Day Care
Residential Care

Phase 2
Corporate Building & Property Services
All Council Catering
Special Education Needs/Disabled Children
Highways & Transportation
Parks & Cleansing
Housing, Non Housing Revenue Account & Public Protection
Planning Services
Remaining Education Services
Remaining Social Services

5.8 These proposals are fully delivered within the context of sustainable Swansea and can be alternatively summarised in **Table 6** as follows:

Table 6 – Sustainable Swansea Delivery Programme Proposals 2018/19

	Savings	Savings 2018/19 £m
<i>Savings type</i>	Workforce	2,316
	Other spending	6,059
	Income	4,603
	Mixed (workforce, income, other)	4,024
		17,002

5.9 For delivery purposes, all proposals that are approved, after considering the outcome of consultation and Equality Impact Assessments, will be combined into a single matrix showing the Strand Savings alongside the Head of Service accountable for delivery.

Schools' Delegated Budgets

- 5.10 The indicative savings assessments set out in Table 1 at 3.6 above and Appendix B, show that it is inevitable, given the scale of reductions required within the one education budget, that ongoing consideration will have to be given to the current level of schools' delegated budgets.
- 5.11 Budget movements can be viewed in two ways:
- Actual cash increases in levels of funding provided to Schools
 - Real terms reduction in Schools funding, taking into account known spending needs
- 5.12 For current consultation purposes it is intended that there will be a proposed 1.5% (£2.2m) increase in schools core funding (excluding Pupil Deprivation Grant and Post 16 funding changes which comes separately from Welsh Government) which is a much better position than the 0.1% decrease in this Council's funding from Welsh Government.
- 5.13 However, it is clear that a number of budget pressures detailed in Table 2 in Section 4.2 of this report include pressures that will fall directly to the delegated budget. These are estimated as:-

Table 7 – Main pressures on Schools delegated budgets

Identified budget pressure	2018/19
	£'000
Schools pay award	2,400
Share of increased LGPS costs	300
Demographics (increased pupil numbers) and other cost pressures (e.g. non domestic rates)	1,000
Total	3,700

Cabinet will have to consider what actual overall funding is proposed in respect of the Schools delegated budget following consultation with all head-teachers at a meeting on 13th December 2017. This will be presented back to Cabinet as part of the overall consultation report

There is no ministerial funding guarantee for schools implicit in the 2018/19 provisional revenue settlement. The initial proposal to fund £2.2m of increased costs (around 60% of estimated total costs) is a matter for member local choice and has to be taken in the context of certainty of reductions in other Council budgets to pay for any increase, given the overall cash reduction in the settlement.

There is an estimated potential further cash increase due to this Council in the final local government settlement, following the UK government budget announcements, of between £1-1.5 million (not guaranteed until Welsh Government completes its deliberations on budget priorities).

Recognising previous policy commitments, it is also intended that any general cash increase in the final settlement, once confirmed, will also be passported through as targeted additional investment in the schools delegated budgets. If this is in line with funding expectations then it is possible that the final cash figure for schools could fully fund all main pressures for 2018-19.

It is recognised that even with that potential level of investment that schools face significant pressures in the medium to longer term. To assist schools further Cabinet intends that they will also have equal and full access to the Council's Restructure Reserve and for the first time, the Contingency Fund. Whilst such sums are finite, they do afford opportunities to target investment where needed and to facilitate further transformation and potential invest to save opportunities within and across schools. Further details will be developed in discussion and co-production with schools.

Total Proposals

- 5.14 The total net savings across the areas outlined above are shown in **Table 8** below:

Table 8 –Proposals for 2018/19

Savings	Net Savings £m
Service Savings	17,002
Reduced contributions to Reserves	646
Reduction in base AEF	-277
Council wide pressures	-14,700
Service pressures accepted	-4,114
Service bids proposed	-4,500
Shortfall in meeting the Total Savings Requirement	-5,943

- 5.15 The detailed proposals are set out in **Appendix C**. Subject to Cabinet approval, consultation will commence on the proposals, as appropriate, with staff, Trade Unions, Schools' Budget Forum, residents, affected groups and partners, alongside Equality Impact Assessments (EIAs).

Other Savings and Funding Options

- 5.16 The current total of all savings proposals for 2018/19 is £17.002m, against the current total requirement of £22.177m. Work will continue over the

next two months up to Cabinet in February 2018 to assess a range of other options. This is necessary because:

- Some proposals may not be approved following the outcome of consultation and Equality Impact Assessments
- Additional savings are required as a contingency against non delivery of some savings in year
- Additional savings are required for future years

5.17 This assessment will include a review of other service savings and our policy on Council Tax. The current level of the remaining savings gap is entirely consistent with council tax levels likely needing to be near the upper end of any permissible increase, i.e. 5%.

6.0 Assessment of Risks and Uncertainties

6.1 As in previous years, the budget proposals as presented must be viewed in the context of the ongoing risks and uncertainties that the Council faces during 2018/19 and beyond:

6.2 These currently include:

- a) **Equal pay claims:** The risk at the present time is residual.
- b) **Pay and grading appeals:** it is assumed, as in previous years, that costs arising out of pay and grading appeals will be met from within Directorate approved budgets and schools delegated budgets where appropriate.
- c) **Specific grants:** It is likely that, based on experience in 2017/18, the Council will suffer from significant attrition in terms of specific grants received from Welsh Government and other public bodies. It remains the case that where such grant reductions occur they will require specific service cost reductions in addition to any savings targets identified above.
- d) **The savings proposals** for 2018/19 and beyond are predicated on clear and decisive action being taken to deliver wide-scale transformational change. This will require robust implementation, monitoring, review and if necessary enforcement of savings proposals.
- e) **The timing** of Welsh Government announcements on both core and specific grants means that uncertainty will remain until the final period of the budget setting process.

7.0 Consultation and Engagement

7.1 In previous years the Council has consulted on a number of issues including:-

- Specific budget proposals relating to budget reductions impacting on the following year's revenue and capital budget together with potential longer term savings to deliver the medium term financial plan.
- Consultation on shaping the Council's Wellbeing Objectives, as set out in the corporate Plan 2017-22.

7.2 In terms of Council priorities, consultation has been taken into account in deciding the new key priorities (Well-being Objectives and Improvement Objectives) which are as follows:-

- **Safeguarding** people from harm – so that our citizens are free from harm and exploitation.
- Improving **Education and Skills** - so that every child and young person in Swansea gains the skills and qualifications they need to succeed in life.
- Transforming our **Economy and Infrastructure** – so that Swansea has a thriving mixed use City Centre and a local economy that will support the prosperity of our citizens.
- **Tackling Poverty** – so that every person in Swansea can achieve their potential.
- **Transformation and Future Council** development – so that we and the services that we provide are sustainable and fit for the future.

7.3 In terms of the current consultation it is not intended that we repeat the consultation exercise on overarching Council priorities at this time. Likewise we will not consult again on matters that are merely a continuation of existing good practice, or previously agreed plans, such as our continued successful implementation of the Safe Looked After Children reduction strategy, or where there is more detailed consultation, following the findings of our commissioning reviews.

7.4 However, as in previous years, the Council will undertake a full consultation on proposals that will affect the public in general or specific sections of the Community.

7.5 It is essential that in agreeing to consult we take into account the following:-

- Under the Public Sector Equality Duty (Wales) we have to engage with protected groups to assess the likely impact of any policies or practices being proposed or reviewed.

- The Wales National Principles for Public Engagement include the expectation that engagement gives a real chance to influence policy, service design and delivery from an early stage
- Under the Gunning principles, consultation should be at an early stage with public bodies having an open mind, those being consulted have enough information to make an intelligent choice, enough time is provided for people to make an informed choice and consultation responses must be taken into account.
- The requirements and principles embedded in the Well-being of Future Generations (Wales) Act which should underpin everything that the Council does

7.6 Details of the settlement dates from Welsh Government detailed elsewhere in this report highlights the extremely difficult timetable the Council faces in setting its budget proposals.

7.7 In terms of consultation, the Council intends to fulfil its obligations by:-

- Undertaking a **Public Survey**. Specific budget proposals and those relating to the Commissioning Reviews will be included in the public survey that will be available online and in hard copy format at venues across the City and County.
- **Consultation with specific groups**. We will consult a number of Groups including children and young people, groups with protected characteristics and organisations such as Community Councils.
- **Service specific consultation**. Services will carry out their own consultation on proposals that only affect a small or specific group of people rather than the wider public consultation.
- **Staff roadshows**. Cabinet Members will join Officers in engaging staff at meetings in December
- **Unions**. The Leader, Cabinet Members and Officers are due to meet Union representatives to discuss the proposals.
- **School Budget Forum**. Officers and Members will consult the form on proposals that affect schools.

In addition the Council will promote and communicate the consultation via website and Social media.

7.8 There will be on-going consultation during the forthcoming year as and when the individual Commissioning Reviews progress and develop their proposals for transforming services and helping to deliver contributions towards the overall savings requirement.

8.0 Staffing Implications

8.1 The Council, working in partnership with Trade Unions, succeeded in largely avoiding compulsory redundancies as part of the implementation of the budget savings for 2017/18. This was achieved by a continued flexible policy on redeployment and a proactive approach by all parties. The clear intention is to build on this approach for 2018/19 and to look for other ways of avoiding compulsory redundancies.

8.2 However, a significant reduction in posts in 2018/19 will be unavoidable, given that the Council spends around 40% of its overall budget on employees (significantly more in some Service Areas). It is important, therefore, that the Council is open about the potential for compulsory redundancies in 2018/19 and beyond given the increased level of savings and the reduced scope for voluntary redundancies.

8.3 Notwithstanding the scale of the challenge, in line with the Council’s current policy, every effort will be made to minimise compulsory redundancies. Management action includes:

- *Tight management of vacancies so that we manage the deletion of posts via natural wastage over time*
- *The use of fixed term appointments where a post needs to be covered*
- *Stopping the use of agency staff unless a clear business case can be made*
- *Redeployment and retraining where ever possible*
- *Further encouragement of staff to consider ER/VR options, including bumped redundancies*
- *Encouraging staff to work flexibly eg: reduce hours or job share*
- *Flexible retirement*

8.4 The groups of staff likely to be most at risk (no options can be ruled out at this stage) are those affected by service savings, those in management/supervisory posts and those employed in business support functions. The latest estimate (**work on this is continuing and the number is likely to increase**) of the impact of the current proposals on total staffing numbers for 2018/19 is set out in **Table 9** (shown as Full Time Equivalents (FTEs))

Table 9 – Impact of Savings Proposals on FTEs 2018/19

		FTEs
Service Saving Proposals		
	Corporate Services	17
	Place	20
	People	11
	Total	48

8.5 The Council will need to consult with Trade Unions about the 2018/19 savings proposals and the likely impact on staff; in particular, the

management of change and selection criteria where posts are at risk of redundancy. It is a legal requirement and incumbent upon the Council to commence formal negotiations with the Trade Unions to seek to avoid the need for such redundancies, to consider alternatives and to seek to reach agreement on the selection process for redundancies, should we get to that position. This is in line with the requirements of Section 188 (1) of the Trade Union and Labour Relations (Consolidation) Act 1992 (as amended). This is on the basis that these proposals could affect more than 100 employees and that the period of consultation will be for a minimum of 45 days.

- 8.6 The Council is committed to continue to work closely with Trade Unions to minimise the number of compulsory redundancies.
- 8.7 Reflecting the principle in the MTFP stated earlier in this report, consultation will be undertaken on a rolling basis outside the normal budget cycle, as the outcomes from commissioning and other reviews are presented to Cabinet. Consequently, in some Service Areas, it is not possible at this time to give details of the precise impact on staff and the figures quoted are, therefore, overall estimates. The regular liaison meetings with Trade Unions will be used to provide more detail when this becomes available as future options are agreed.

9.0 Delivery – “Decide and Do”

- 9.1 Delivery of the Budget strategy and Savings Programme is clearly critical. If this is not given the right attention savings will not be achieved. This requires a clear understanding of the organisational requirements to deliver as set out in *Sustainable Swansea*.

Deliverability of Savings

- 9.2 In parallel with the consultation process, we are undertaking a robust appraisal of all options for savings to ensure:
- They are deliverable
 - We understand the impact
 - We have assessed the risks and how these can be mitigated

Subject to the above, we will adopt the principle of “decide and do” in terms of a pragmatic approach to the implementation of proposals.

- 9.3 The Corporate Management Team has oversight of the programme management arrangements for the Savings Programme. This includes a sponsorship role for Directors, supported by a wide range of Heads of Service and Senior Managers from every part of the Council and project support.

Timeline

9.4 The remaining timeline for the Budget process is set out in **Table 10** below.

This timetable is effectively being driven by the dates set for the Autumn Budget by the Chancellor of the Exchequer which has impacted on the ability of the Welsh Government to determine its final detailed budget proposals for 2018/19.

Table 10 – Budget Timetable

13 th December 2017	Initial consultation with Schools starts	School Budget Forum
14 th December 2017	Cabinet	Approves budget proposals for consultation
14 th December 2017	Consultation commences	A variety of means will be used
26 th January 2018	Consultation closes	Report will be produced on consultation responses
January 2018	Scrutiny	Review of Cabinet proposals
8 th February 2018	Special Cabinet	Reviews feedback from consultation and recommends Budget
22 nd February 2018	Council	Approves Budget and sets Council Tax

10.0 Next Steps - A Sustainable Swansea – fit for the future

10.1 As stated above, the scale of the financial challenge requires the Council to adopt a radically different approach to previous years. An approach that focuses on:

- *The core future purpose of the Council*
- *The transformation of services and the model of delivery*

- *Greater collaboration with other councils and local organisations, community groups and residents*
- *And, above all, sustainable solutions with prevention at its heart*

This ambition is set out in *Sustainable Swansea – fit for the future*.

10.2 A probable overall cut in spend of 20-30% (more in some areas) over the next few years cannot take place without a fundamental review of the future purpose and shape of the Council to 2018 and beyond. This is particularly important because:

- The Council has clear aspirations and policy commitments to improve outcomes for residents that will need to be delivered alongside savings
- We will also need to consider the requirement for further investment in prevention in social care to remodel the projected future demand for services
- This requires a debate about innovation, service transformation, and doing things differently
- And we must collaborate with others to achieve this
- All this has to be considered alongside a potentially ambitious Capital Development programme with increases in associated borrowing costs
- To ultimately deliver the well-being of future generations.

10.3 Consequently, the current debate with residents and partners, as well as inside the Council, about the Core Purpose of the Council, what residents and communities can do for themselves and the Future Shape of the Council is fundamental.

11.0 Equality and Engagement Implications

11.1 The *Sustainable Swansea* Engagement Plan is outlined in section 7 above.

11.2 In line with legislative requirements, a fundamental part of our approach is to assess the impact of proposals on residents and the community. As in previous years, the corporate Equality Impact Assessment (EIA) process continues to be followed for all new proposals. EIA reports will not be finalised until engagement activities have been completed so that the findings can be taken into account. They will then form part of the decision making process. Proposals that were previously screened (and/or subject to a full EIA report) are being re-visited by managers to ensure that:

- The information is still accurate and relevant and up-to-date
- Proposals comply with the Well-being of Future Generations (Wales) Act
- Proposals comply with the Welsh Language Standards

11.3 Cabinet and Council will receive a full report on the feedback from the consultation and outcomes of the EIA process in February 2017 so that they can be fully taken into account before any decisions are made.

11.4 There will also be full engagement with the Council's Scrutiny Committee.

12.0 Financial Implications

12.1 This report sets out the Council's projected budget position for 2018/19 and sets out proposed savings to meet the projected shortfall currently estimated at £22.177m.

12.2 It is a legal requirement that Council sets a balanced Revenue Budget for each financial year and it is essential that detailed plans to address projected shortfalls are developed and, more importantly, delivered over the coming years.

12.3 Progress with achieving savings agreed as part of the 2017/18 budget is monitored each month by the Corporate Management Team and the Budget Performance and Review Group, with quarterly reports to Cabinet.

13.0 Legal Implications

13.1 Specific legal duties relating to consultation and the setting of the budget are set out in the main body of the report.

13.2 Any consultation must be meaningful and be taken into consideration when making any decision.

13.3 The council has a public sector equality duty under the Equality Act 2010. In order to comply with that duty it is essential that Equality Impact Assessments are undertaken where appropriate in relation to budget proposals and any impact is considered.

Background Papers: None

Appendices: Appendix A – *Sustainable Swansea – fit for the future:*
Transformation Programme 2018-19
Appendix B – Statement of Medium Term Budget Priorities
Appendix C – Savings Proposals 2018/19

SUSTAINABLE SWANSEA – FIT FOR THE FUTURE

Transformation Programme 2018-19

The Sustainable Swansea – Fit for the Future Programme

The Sustainable Swansea Programme is the Council's transformation plan across the whole organisation. Planning started back in 2014 with implementation running from 2015 through to 2022. The programme is the Council's proactive response to pressures, mostly in the external environment, to ensure Swansea communities have the right support and remain sustainable in the long term in the context of reducing budgets and rising demand for public services.

A large part of the Sustainable Swansea programme involves a change process called 'Commissioning Reviews'. This is a 22 week process involving in-depth analysis, stakeholder involvement / feedback, benchmarking, and an options appraisal. It is the intention for every service to go through a Commissioning Review in the life of the programme. The Council developed a toolkit to support services through the process.

Importantly, since 2015:

- **17 service area commissioning reviews** have been undertaken (15 completed) and most of these areas are now implementing decisions from their options appraisals.
- The Council has **achieved £60m of savings** through a range of measures and projects including Commissioning Reviews.

The table below highlights some of the main areas of delivery through Sustainable Swansea to date. The expected benefits, outcomes and impact of these projects were defined up front however, it takes time for these to be fully realised. Where benefits are already emerging these are also listed:

<p>Commissioning Review Process and Modernisation of Services</p>	<ul style="list-style-type: none"> ▪ 17 Commissioning Reviews delivered (11 are now implementing their three year plans) ▪ Staff are expanding digital ways of working and developing online services, making it easier for residents and customers to get what they need and encouraging a shift from high to lower cost transactions. ▪ 31 request forms including automated payments ▪ Online payments of over £108,741 reducing back office finance functions ▪ BACs and Card payments increased ▪ 26% of bulk waste requests are now online reducing processing time within the contact centre ▪ Hanging Basket ordering system online has increased sales to wider customer base with £13.6k taken in online sales (parks and cleansing) ▪ The Agile working Strategy has enabled new ways of working and the subsequent release of satellite offices, delivering in excess of £1m per annum revenue savings and £3m in capital receipts. The Council is now reviewing new ways to utilise space in public buildings, to reduce silo working, improve collaboration and agile working, as well as saving money and generating income. Plans to release 2-3,000 square metres of office space within the Civic Centre could improve the way the Council works and generate potential income ▪ Flexible working is reducing staff travel. Through the introduction of new technologies, staff can now work remotely including from home. As a result business travel mileage has dramatically reduced.
<p>Service Commissioning Review Implementations</p>	<ul style="list-style-type: none"> ▪ Residential and Outdoor Centres – The sale of Dan y Coed has completed. Historically only an Education Service, the new business manager has: enhanced the list of services for income generation, retained the historical service for schools, is developing a new online presence including online booking, has introduced deposit systems and re-profiled roles and structures to fit the future service model. A feasibility and bid has been submitted to develop the next phase of the model to maximise income. ▪ Waste Management – Three recycling centres have been developed including challenge stations for residual waste to complement the ‘no black bag’ policy. The impact has been to raise awareness of recycling whilst also delivering a dramatic reduction in tonnage collected (approx 10,000 tons to 2,000 tons). The Service was recognised nationally for this innovation, winning the iESE Award, LPG Awards and was shortlisted for a number of APSE awards. The new pink bag initiative is rolling out and recycle rates are on target for 64% in 2020, the Council is currently performing at 63.7%

- **Business Support** – This project delivered many changes across three phases including:
 - Implementation of the Service Centre and Transactions Team which incorporates the employee services helpdesk.
 - Rollout of end to end process changes with regard to purchasing and paying suppliers for goods and services, moving this all online.
 - Significant improvements in self-service support for officers and managers online.
 - The services which are available to the public through the Contact Centre have been increased to include Street Lighting, Parks & Leisure, Parking Services, and Cashiers.
 - Online forms have improved both the speed and efficiency for the public and increased business intelligence capability within the Council.
 - Strategic support for the Member-led approach and cross-party Policy development has implemented
 - A consistent approach to Business Support across the Council is progressing with the development of Business Support ‘mini hubs’ within the People and Place Directorates. This will enable corporate consistency whilst being tailored to Service needs.
- **Cleaning** – Phase 1 and Phase 2 of site assessments have been completed resulting in: a reduction in hours for some cleaning staff, new output specifications being introduced at sites, performance and monitoring quarterly, and new team working helping with the management of workforce. Income generation opportunities are now being explored alongside electronic timesheets.
- **Corporate Building & Property Services** – Re-profiling and structures have been implemented, the Service now delivers the kitchen and bathroom programme in-house. This has resulted in the recruitment of 40+ trades personnel some having a multi-skilled discipline and not a specified trade ensuring the workforce has sustainable skills. 14 new apprentices have joined the service. The new homes build project has also been completed. The service is currently adopting mobile working.
- **Family Support** – Launch of the Domestic Abuse Hub was implemented in July 17.
- **Adult Services** – The Social Services delivery model was agreed in Nov 17 and will feed into the new Services in the Community cross-cutting work. Transformation of domiciliary care and residential care are part of the wider Adult Services Improvement Plan.
- **Public Protection** – Programme of process mapping and analysis across public protection started in Nov 17 and will be completed by January 18.

	<ul style="list-style-type: none"> ▪ City Regeneration and Planning – Recommendations from the commissioning review are being implemented including implementation plans for a new model and mobility hire services. ▪ Catering – A Business Development Officer analysing internal catering for income generation opportunities. Reconfiguration of the canteen facilities to be planned for early 2018 ▪ Cultural Services – In-house transformation completed as planned, this included full staff restructuring across operations and establishments ▪ Paid Access to services – Tendering for Leisure/Outdoor/Theatres and Brangwyn Leisure progressing as per the implementation plan. ▪ Culture Strategy and Outreach – Transformation underway as planned in areas such as parks letting schemes, creation of development teams, and commission of water safety charges review with the RNLI ▪ Highways and Transportation – Initial Integrated Unit works have been completed in 17/18, bringing together transport teams from across the Council. Further planning to be undertaken. The review is scheduled to be presented to Cabinet in January 18
<p>Future Council</p>	<ul style="list-style-type: none"> ▪ The Organisational Development Strategy has been developed and proposes a phased implementation over four years to ensure the Council’s workforce has the skills for the future. The work is underpinned by the principles of the 21st century public servant and 21st century Councillor developing people’s skills and behaviours alongside the Council’s culture. ▪ Workforce modernisation has focused on absence management this year in order to address sickness levels and increase productivity. The Council’s performance is improving and recently entered the top quartile across all Local Authorities in Wales however, further time is needed to see the true impact of this project. Further workforce modernisation projects are underway such as reviewing zero hour contracts. ▪ A Corporate co-production, communication, consultation and engagement strategy is in development. The new approach to co-production will be piloted with the Services in the Community cross-cutting project to ensure residents, businesses and other important stakeholders can be involved in shaping future community services ▪ A Commercial Strategy and plan is underway. A significant number of commercial projects have already been delivered within Services alongside a more commercial approach to procurement and contract management. This work is being fast tracked and increased to deliver budget proposals over the next four years.

<p>How Sustainable Swansea has impacted the Council's culture</p>	<ul style="list-style-type: none"> ▪ Feedback indicated the Commissioning Reviews had a positive impact on the workforce encouraging staff to 'think differently' about how and why the Council delivers its services ▪ The Commissioning Review process has in itself led to a significant culture change, with staff owning the process and being integral to the development of the solutions. The reviews have involved stakeholders at all levels including trade unions, Councillors, Scrutiny, and internal and external stakeholders. This has broken down silo working and led to significant financial and other benefits such as improved outcomes for residents and customers ▪ Demand Management – Delivered a Demand Management Strategy and Toolkit for staff, developing the skills of staff to help them identify and understand Service demand and resolutions. Techniques such as Systems Thinking have been used to gather important demand data for the Domestic Abuse Hub pilot, other areas that will be explored in the new cross cutting themes will be in Housing and the Food Safety team. ▪ In addition the co-production approach within social services has seen a change in how service users engage with the Council. This approach of service user involvement will develop with the corporate co-production approach.
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The programme is reviewed and adapted annually as result of:

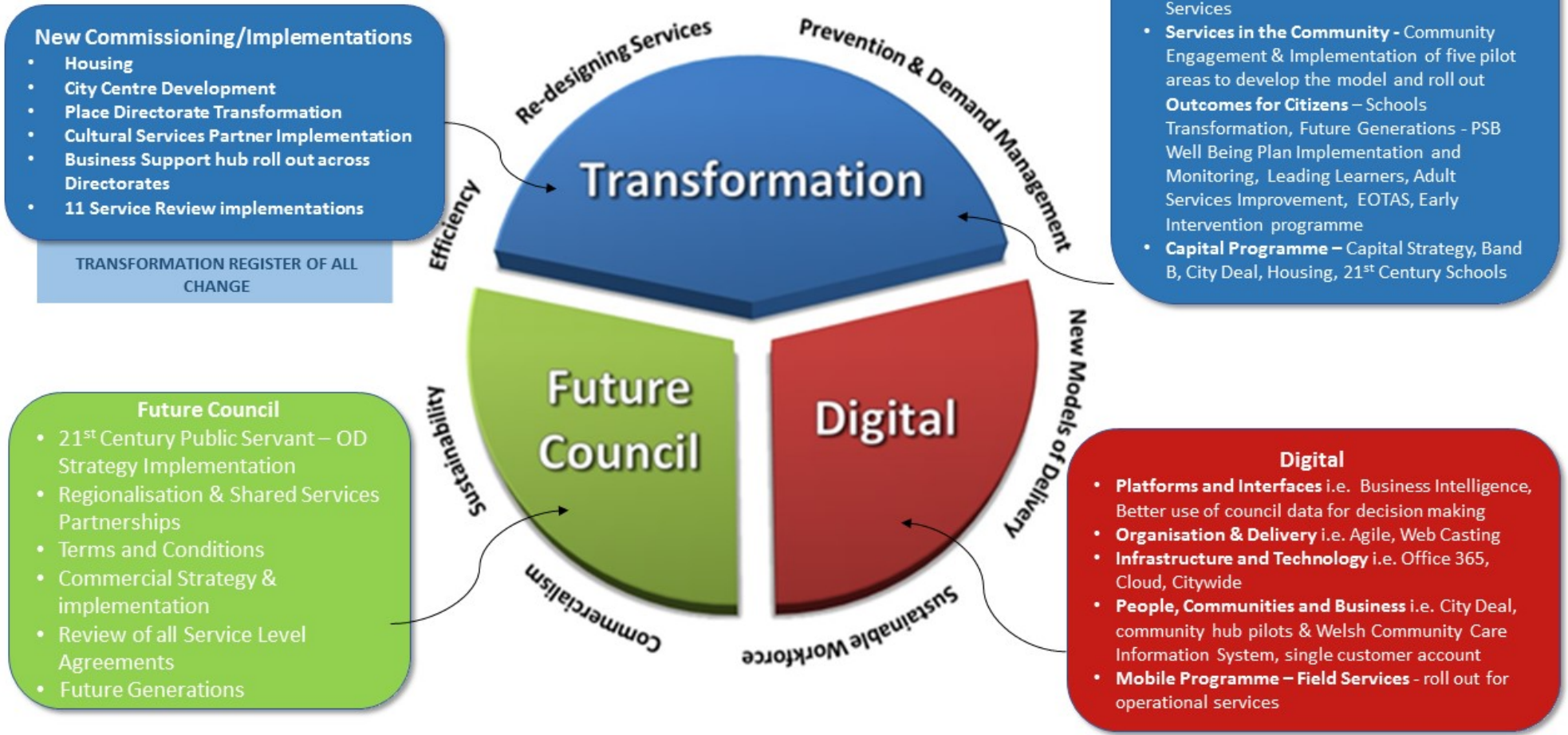
- Projects completing as planned
- Changes in the environment including new legislation
- New pressures or challenges, requiring an innovative approach
- Annual budget setting to ensure that transformation priorities and resources are aligned to savings targets.

The Sustainable Swansea model below has been updated and adapted to align with this MTFP. The three segments: Transformation, Digital and Future Council are the **priorities for the year** so that resources can be targeted to deliver both change and financial targets. Around these priorities are the **principles of the programme**: These act as the 'lens' through which staff can continuously review working practices and plan for change.

The three priority areas have been changed in the following ways:

- **Transformation:** Last year's report highlighted the shift from individual Service Commissioning Reviews to a cross-Council approach, bringing Services together around common themes. The four themes have been developed alongside key stakeholders. In addition the programme will complete the remaining commissioning reviews and support their implementations as well Directorate specific changes. The Council also has a Transformation Register which tracks and monitors all changes across the organisation and ensures a Team Swansea approach.
- **Digital:** This is the continued implementation of the Digital strategy with particular focus on implementing mobile and field working for operational services, supporting the infrastructure developments around City Deal and regeneration of the City Centre, further roll out of agile working for staff with new technology, and implementation of the all-Wales Community Care Information System for Social Services and Health.
- **Future Council:** Organisational development is a key priority over the next year to ensure the workforce has the right skills for the future and that staff, managers, and Councillors have a supportive development environment. The commercial strategy implementation is also a key priority in ensuring the Council has a sustainable model into the longer term. All this work is being undertaken in the context of growing regionalisation.

Sustainable Swansea – Fit for the Future



SUSTAINABLE SWANSEA – FIT FOR THE FUTURE

STATEMENT OF MEDIUM-TERM BUDGET PRIORITIES

PURPOSE

This paper sets out the Council's views on relative service and budget priorities in the context of the delivery of *Sustainable Swansea – fit for the future* and the Medium Term Financial Plan.

The statement has three objectives:

- *An indicative statement about future funding for services, together with an overall percentage reduction in spend over the next 3 years*
- *A high level statement for services about expectations for transformation and delivery*
- *Policy statements for each major service block setting out how the funding challenge will be met*

STRATEGIC CONTEXT

The scale of the financial, demographic and sustainability challenges facing Swansea require a radically different approach to the past. *Sustainable Swansea – fit for the future* sets out the Council's long term objectives for meeting these challenges and for transformational change for services, the Council and our relationship with residents.

The Council is also developing a revised Corporate Plan that sets out five top priorities for the future:

- *Safeguarding vulnerable people*
- *Improving pupil attainment*
- *Creating a vibrant and viable city and economy*
- *Tackling poverty*
- *Building sustainable communities*

The Council's overall aim is to protect frontline delivery of services as far as possible. However, whilst many things are important, not everything can be a priority. It is important, therefore - particularly in the current climate of significantly reduced resources - that we set out clearly our expectations on all services and relative priorities for funding.

FINANCIAL CONTEXT

We currently estimate that the Council will need to save around £54m over the next 3 years. This requires not only a strategy for transformation, which is set out in *Sustainable Swansea – fit for the future*, but also a clear statement of the expected impact of the reductions across the Council's major services.

SETTING INDICATIVE MEDIUM TERM FINANCIAL ALLOCATIONS

The Council is proposing indicative medium-term financial allocations following an assessment of our overall priorities and the financial context that we face.

The statement which follows is based on an assessment of services in relation to the following criteria:

- **Invest:** those Services where the Council will increase current levels of investment in order to:
 - Deliver our top priorities; and/or
 - Achieve significant reductions in future spend
- **Maintain:** those services where the Council will broadly maintain current level of spend in the medium term to:
 - Deliver our top priorities
 - Meet statutory requirements
 - Meet resident expectations
- **Remodel:** those services where the Council will remodel the current level of spend over the medium term:
 - Because these are lower priority areas
 - To contribute to the overall budget savings requirement

In setting financial allocations we have also had regard to the “gearing” effect of savings on services. In other words, if our current savings requirement of £61m over three years was applied, for example, just to Corporate Services (excluding Council Tax Reduction Scheme) and Place Services, the budgets for areas would be cut by around 75%. Consequently, other areas such as Education and Social Care also need to face some level of reduction over the next 3 years given the relative size of their budgets.

Based on the statement of priorities and having regard to the “gearing effect” when considering savings, the indicative 3 year saving/investment targets for each major block of services is set out in the table below:

INDICATIVE MEDIUM TERM FINANCIAL ALLOCATIONS

Service	Budget 17/18 £m	Percentage Reduction/Increase over 3 Years	Amount Realised £m
Schools	143.6	+1.5	+2.2
Rest of Education	21.1	-15	-3.2
Social Care – Child & Families	35.4	-15	-5.3
Social Care- Adults	68.4	-20	-13.7
Poverty & Prevention	6.1*	+5	+0.3
Place	50.8	-50	-25.4
Corporate Services	22.1	-50	-11.0
Total	347.5m		-56.1m

** Note that whilst this is the controllable budget for Poverty & Prevention, the Council spends **significantly more** on this area through the contribution of a wide range of other services*

This statement will form the basis of our future medium term financial plan, as well as individual service plans.

GENERAL PRINCIPLES FOR ALL SERVICES

There are a number of principles that apply to all the Council's services, regardless of the assessment of relative priorities. These are set out below.

Budget Principles

The Council has adopted a number of Budget Principles which underpin *Sustainable Swansea*:

<i>Everything is included</i>	<i>Increased income</i>
<i>Engagement</i>	<i>Different models of delivery</i>
<i>We will have less money</i>	<i>Supporting those at risk</i>
<i>Demonstrating efficiency</i>	<i>Evidence base</i>
<i>Cutting Red Tape</i>	<i>Sustainable outcomes/prevention</i>
<i>Full cost recovery</i>	<i>Personal Responsibility</i>

All Services must apply and be consistent with these Budget Principles.

All Services are also required to address these Principles as part of business planning and developing savings proposals.

Service Transformation and Efficiency

There are expectations upon all Services in relation to transformation and efficiency which must be met regardless of relative priority for funding:

Transformation	<p>All service must transform through a fundamental review of purpose, however services are commissioned, to:</p> <ul style="list-style-type: none"> • deliver better outcomes • develop a sustainable delivery model, fit for the future • remodel costs and secure value for money
Efficiency	<p>All services must continue to strive for efficiency, in particular:</p> <ul style="list-style-type: none"> • reduce management and other overheads • maximise opportunities for increasing income from charges, trading and external sources • reduce the cost of purchasing supplies and services • work with others to achieve better outcomes • look for opportunities for residents or community groups to take or share responsibility for services

APPENDIX C

HoS Budget	Proposal	Savings 2018/19 £'000
Corporate Services	Management review including all tiers, regional working and shared services, more digital working and 'mini business hubs' within other directorates	995
Corporate Services	Service Reviews and demand management across all areas of the Directorate	597
Corporate Services	Review and full cost recharge of Welsh Translation Service to users	160
Corporate Services	Review funding of union representatives	72
Corporate Services	Reduce budgeted council tax reduction scheme costs to same level as actual spend (demand led, varies annually)	500
Corporate Services	Working commercially across the Council on income / contract spend, prioritising resources as per strategy and plan	1,150
Adult Services	Management savings across all levels within Adult Services	762
Adult Services	Review of Community Alarm Service (separate consultation)	10
Adult Services	Implement preferred options as outcome of Commissioning Review leading to reduction of in-house beds	169
Adult Services	Review of day services eligibility (separate consultation)	110
Adult Services	Maximise Income for Local Area Coordination from partners	80
Adult Services	Implement preferred options as outcome of Commissioning Review	500
Adult Services	Introduction of prepaid cards to service users to minimise potential for direct payments to be used incorrectly	150
Child & Family Services	Leaving care accommodation costs to be aligned to maximise eligibility for grant funding	150
Education	School Meal Charges - full year impact of September 2017 5p increase	23
Education	Free breakfast costs - further review of support given	69
Education	Catering and cleaning services - further review of actual costs to achieve full cost recovery	95
Education	Corporate review of terms and conditions - school staff parking charges	150
Education	School Meal prices: further increases (5p / £2.30: Sept 18; 10p / £2.40: Sept 19; and 10p / £2.50: Sept 21)	40
Education	Robust management of demands on remaining severe and complex needs budgets	261
Education	Continuing managed savings through wider impact of implementation of new models of learner support	130
Education	Further reductions in regional improvements service ring-fence consistent with funding settlements	32
Education	Further assumed reductions in Education Improvement Grant matching funding requirements	11
Education	Ethnic minority achievement service - full recovery of eligible costs from external grant	40
Education	Further review of management posts in light of changing demands and capacity issues	55
Poverty & Prevention	Adult and community learning managed savings	80
Poverty & Prevention	Develop and spin out the Food not-for-profit Enterprise	70
Poverty & Prevention	Completion of Rights Respecting Schools Award	10
Poverty & Prevention	Reduce third sector funding via the Change Fund by 10%	25
Poverty & Prevention	Management savings	4
Poverty & Prevention	End the Enterprise Officers Contract and look for funding alignment opportunities	70
Poverty & Prevention	Joint commissioning opportunities for LGBT Youth Club provision (YMCA)	20
Poverty & Prevention	Reduce satellite youth clubs provision (Gendros, Montana, Morryston, St Thomas, Friendship House)	40

Poverty & Prevention	Reduction in investment in Early Years	47
Poverty & Prevention	Maximise grant funding and income opportunities	145
Poverty & Prevention	Management and staffing efficiencies	60
Poverty & Prevention	Alignment of Early Intervention and Family Learning provision	20
Corporate Building	Staffing and transport savings due to more efficient mobile working	200
Corporate Building	Reduced maintenance on a number of building assets assuming a number will have been rationalised (sold, transferred to community running)	100
Corporate Property	Implement preferred options of Commissioning Reviews for Corporate Property, Cleaning Services and Cultural Services	308
Corporate Property	Additional rental income , including Liberty Stadium	400
Corporate Property	Efficiencies achieved in mail contracts	60
Culture & Tourism	Implement cost recovery by charging schools/other public sector for education services at museums and galleries	21
Culture & Tourism	Reduced staffing and opening hours at the Grand Theatre	176
Culture & Tourism	Cease Grand Theatre printed programme and concentrate on digital only	20
Culture & Tourism	Grand Theatre and Brangwyn increased income	220
Highways & Transportation	More efficient and effective transportation across all Council activities	250
Highways & Transportation	Reduced staff mileage claims as a result of a more agile and digital workforce	200
Highways & Transportation	Efficiencies in management and maintenance of vehicle fleet provision and wider highways and transportation processes	120
Highways & Transportation	Swansea Marina increased income opportunities outside of actual mooring fees	25
Highways & Transportation	Sell park and ride spaces to other employers	20
Highways & Transportation	Increased infrastructure works on behalf of Housing Department. Investment in Housing assets presents significant opportunities.	20
Highways & Transportation	Disability Crossover budget - installing dropped kerbs at junctions. Future funding from member environmental improvement budgets	20
Highways & Transportation	Increased car parking charges, set to match demand patterns, including Sunday parking	100
Highways & Transportation	Enforcement of moving traffic offences (via new technology)Investment in new technology	30
Highways & Transportation	Increases in licensing charges	5
Place - Cross Cutting	Increased fee earning activity, assuming full cost recovery	750
Place - Cross Cutting	Senior staff savings	250
Waste Management & Parks	Seek community ownership/sponsorship of flower beds	25
Waste Management & Parks	Rationalisation of Playgrounds	30
All Services	Reduce sick pay expenditure	1,000
All Services	Reimburse only half of all staff professional fees	55
All Services	Reduction in earmarked reserves (contingency fund)	1,400

Savings Requiring Initial Investment

Adult Services	Review all Mental Health and Learning Disability packages of care, to ensure that they are fit for purpose and those eligible for health funding receive it (separate consultation).	500
Adult Services	Review all packages of care to ensure fit for purpose and effectively manage new admissions to residential and domiciliary care (separate consultation)	221
Adult Services	Targeted increase in recourse to direct payments as alternative to non-complex domiciliary care packages and complex care packages for Mental Health & Learning Disabilities (separate consultation)	500
Adult Services	Charging Policy and Annual Fee Increases	1,000
Adult Services	Investment in new posts to underpin the savings set out above	-564
Child & Family Services	Savings arising from the Safe LAC Reduction Strategy	3,000
Child & Family Services	Demand management ensuring Child & Family work only with those children with eligible needs requiring a Social Work intervention.	450
Child & Family Services	Implement the recommendation of the Family Support Commissioning Review and reconfigure in house Family support service.	200
Child & Family Services	Investment in new posts to underpin the savings set out above	-980
Economic Regeneration	Investment into Economic Regeneration following commissioning review with a specific focus on maximising external funding opportunities	-32
	Total Savings before council tax increase	17,002

Service Pressures

HoS Budget	Pressure	£'000
Corporate Property Services	Targeted increases in some NDR budgets	150
Corporate Property Services	Loss of Guildhall Law Court income	135
Waste Management & Parks	Replacement waste vehicles - leasing costs	237
Highways & Transportation	Investment in staff (3 FTEs) for improved highways and transport management	120
Waste Management & Parks	Increase in Member Environmental Improvement budget to £10k each per annum	44
Housing & Public Protection	Increased frequency of dredging the River Tawe	50
Child & Family	Continued support to ensure the continuation and transformation of Child and Family Services and the Safe LAC reduction strategy	2,000
Delegated Schools	Increased funding for schools to reflect demographic pressures (increased pupil numbers)	1,000
Corporate Services	Base line funding for services currently supported by contingency funding in 2017-18 (S151 cover, Deprivation of Liberties Safeguards and Public Service Board	177
Corporate Services	Support for digital inclusion and increased organisational development capacity	65
Legal, Democratic Services & Business Intelligence	Increased support for Coroners and Pathologists	136
	Total Service Pressures	4,114

Work Plan 2017/18

- The Service Improvement and Finance Scrutiny Performance Panel Work Plan has been developed based upon core performance and financial monitoring reports, topic suggestions based on discussion at the Scrutiny Work Planning Conference. It provides a basic framework that allows for items to be added or removed allowing for flexibility throughout the year for any key issues that may arise.
- All meetings will be at 10.30am with a preparation meeting at 10.00am **if required** and will be held in Committee Room 5 in the Guildhall unless otherwise stated.
- The role of this report is to provide an outline of planned work. It can be altered to accommodate for issues which arise throughout the year.

<u>Date and Location</u> 10.30am – 12.30pm (10.00am Pre-Meeting when required) Committee Room 5	<u>Items to be discussed</u>
<u>Meeting 1</u> Wednesday 2 nd August	<ul style="list-style-type: none"> • Role of the Service Improvement and Finance Panel • Officer Briefing Richard Rowlands (Corporate Performance Manager) • Work Plan
<u>Meeting 2</u> Wednesday 6 th September	<ul style="list-style-type: none"> • End of Year 2016/17 Performance Monitoring Report Richard Rowlands (Corporate Performance Manager) • Corporate Plan 2017/22 Richard Rowlands (Corporate Performance Manager) • Capital Outturn and Financing 2016/17 Ben Smith (Head of Financial Services & Service Centre)

	<ul style="list-style-type: none"> • Q1 Revenue and Capital Budget Monitoring 2017/18 Ben Smith (Head of Financial Services & Service Centre)
<p><u>Meeting 3</u></p> <p>Wednesday 4th October</p>	<ul style="list-style-type: none"> • Annual Report – Welsh Language Standards 2016/17 - Confirmed Rhian Millar – Consultation Co-ordinator Ann Williams – Network 50+ Administrator • Quarter 1 2017/18 Performance Monitoring Report Richard Rowlands (Corporate Performance Manager) • Local Government Performance Bulletin 2016-17 (Local Government Data Unit Wales)
<p><u>Additional Meeting</u></p> <p>Monday 16th October 2pm</p>	<ul style="list-style-type: none"> • Public Protection Commissioning Review – Pre Decision
<p><u>Meeting 4</u></p> <p>Wednesday 1st November</p>	<ul style="list-style-type: none"> • Recycling and Landfill - Annual Performance Monitoring - Confirmed Ian Whettleton - Acting Divisional Officer • Mid-Year Budget Statement 2017/18 Ben Smith (Head of Financial Services & Service Centre) • Reserve Update Ben Smith (Head of Financial Services & Service Centre)
<p><u>Meeting 5</u></p> <p>Tuesday 12th December</p>	<ul style="list-style-type: none"> • Annual Review of Performance 2016/17 Richard Rowlands (Corporate Performance Manager) • Quarter 2 Budget Monitoring Ben Smith (Head of Financial Services & Service Centre)
<p><u>Meeting 6</u></p>	<ul style="list-style-type: none"> • Quarter 2 2017/18 Performance Monitoring Report

<p>Wednesday 10th January</p>	<p>Richard Rowlands (Corporate Performance Manager)</p> <ul style="list-style-type: none"> • Corporate Complaints Annual Report - <i>Confirmed</i> Cllr Clive Lloyd – Cabinet member for Transformation & Performance Tracey Meredith – Head of Legal, Democratic Services and Business Intelligence Andrew Taylor – Corporate Complaints Manager • Perception Surveys Report – <i>Confirmed</i> Rhian Millar – Consultation Co-ordinator • Budget Proposals Ben Smith (Head of Financial Services & Service Centre)
<p><u>Additional Meeting</u> Tuesday 6th February</p>	<ul style="list-style-type: none"> • Budget Scrutiny Ben Smith (Head of Financial Services & Service Centre)
<p><u>Meeting 7</u> Wednesday 7th February</p>	<ul style="list-style-type: none"> • Quarter 3 Budget Monitoring Ben Smith (Head of Financial Services & Service Centre) • Welsh Public Library Standards - Annual Performance Report - <i>Confirmed</i> Karen Gibbins - Principal Librarian for Information & Learning
<p><u>Meeting 8</u> Wednesday 7th March</p>	
<p><u>Meeting 9</u> Wednesday 4th April</p>	<ul style="list-style-type: none"> • Quarter 3 2017/18 Performance Monitoring Report Richard Rowlands (Corporate Performance Manager) • Charges - Highways and Waste Chris Williams – Head of Commercial Services • Annual Work Plan Review

	Reflect on this year's work with any ideas for future scrutiny
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To be scheduled:

- Commissioning Reviews
 1. Highways & Transportation Service (Tentative March)